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Report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991

Security Council
Seventieth year

Report of the International Tribunal for the Former Yugoslavia

Note by the Secretary-General

The Secretary-General has the honour to transmit to the members of the General Assembly and the members of the Security Council the twenty-second annual report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991, submitted by the President of the International Tribunal in accordance with article 34 of the statute of the Tribunal (see S/25704 and Corr.1, annex), which states that:

> The President of the International Tribunal shall submit an annual report of the International Tribunal to the Security Council and to the General Assembly.

* A/70/150.

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Letter of transmittal

Letter dated 31 July 2015 from the President of the International Tribunal for the Former Yugoslavia addressed to the President of the General Assembly and the President of the Security Council

I have the honour to submit the twenty-second annual report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991, dated 31 July 2015, to the General Assembly and the Security Council, pursuant to article 34 of the statute of the International Tribunal.

(*Signed*) Theodor **Meron**
President

Twenty-second annual report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991

Summary

The twenty-second annual report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 covers the period from 1 August 2014 to 31 July 2015.

The Tribunal continued to focus on the completion of pending trials and appeals, rendering two appeal judgements during the reporting period. Seven cases — four trials and three appeals — remain. All 161 indicted individuals are accounted for. At the close of the reporting period, 10 persons were in appeal proceedings and four persons were on trial. The present report details the activities of the Tribunal during the reporting period and demonstrates the Tribunal's commitment to completing its proceedings expeditiously and in accordance with due process.

In this context and to the extent possible, the President of the Tribunal has undertaken and promoted efforts to monitor and prevent delays resulting from unforeseen complexities in particular cases and the loss of experienced staff members, by assigning additional staffing resources to cases that need reinforcing.

With the valuable assistance of the Office of Legal Affairs of the Secretariat and the Security Council Informal Working Group on International Tribunals, chaired by Chile, the Tribunal has ensured the continued smooth transition of its functions to the International Residual Mechanism for Criminal Tribunals.

The Office of the Prosecutor made progress towards the completion of the mandate of the Tribunal at both the trial and appellate levels. The Office continued to work closely with the authorities of the States of the former Yugoslavia to encourage cooperation with the Tribunal and to support domestic war crimes prosecutions.

Under the authority of the President, the Registry provided valuable administrative and judicial support to the Tribunal, coordinating a wide range of legal, policy and operational matters. The Registry also coordinated the practical arrangements necessary for the ongoing process of downsizing the Tribunal's operations and the transfer of responsibilities to the Mechanism.

I. Introduction

1. The twenty-second annual report of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 outlines the activities of the Tribunal for the period from 1 August 2014 to 31 July 2015.

2. During the reporting period, the Tribunal continued to implement its completion strategy as endorsed by the Security Council in resolution 1503 (2003). The Appeals Chamber delivered judgements in the multi-accused case of *Popović et al.* and the *Tolimir* case. At the close of the reporting period, three appeals involving 10 persons and four trials involving 4 persons are ongoing.

3. Judge Theodor Meron (United States of America) and Judge Carmel Agius (Malta) continued to serve as President and Vice-President, respectively. Serge Brammertz (Belgium) continued to serve as Prosecutor and John Hocking (Australia) as Registrar.

4. Each organ of the Tribunal continued to undertake measures to improve its efficiency. The Chambers continued to identify and adopt measures to maximize the efficiency of pending judicial proceedings while preserving the highest levels of procedural fairness. The Vice-President, as Chair of the Trial and Appeals Scheduling Working Group, closely monitored the progress of trials and appeals. A number of challenges to the efficiency and timely completion of the Tribunal's proceedings identified during the reporting period were the continued attrition of the Tribunal's highly experienced staff and the ill-health of accused persons. The Office of the President and the Registrar worked closely to implement measures to address challenges related to staffing of the Tribunal.

II. Activities involving the entire Tribunal

A. President

5. The President oversaw the work of the Tribunal, focusing on the judicial responsibilities of his office and on initiatives aimed at the timely completion of trials and appeals. He worked closely with the Vice-President and the Registrar to develop and implement strategies aimed at expediting the Tribunal's judicial proceedings. In addition, he represented the Tribunal at various international forums and met with numerous government officials.

1. Preventing delays in the work of Chambers

6. The President and the Vice-President coordinated closely with judges of the Tribunal to reduce the risk of delays in trials and appeals. Among other efforts, the President closely monitored the progress of cases and proactively assigned additional legal staff to teams requiring assistance as a result of the loss of highly experienced staff members and/or unforeseen complexity in proceedings.

2. Relations with Governments and international organizations

7. During the reporting period, the President conducted an official mission on behalf of the Tribunal to Bosnia and Herzegovina from 25 to 27 November 2014. During the mission, the President met with victims of the conflicts in the former Yugoslavia and visited locations where the Tribunal established that crimes had been committed during the war. The President also took the opportunity to meet with the President of the Court of Bosnia and Herzegovina and the High Representative for Bosnia and Herzegovina.

8. July 2015 marked the twentieth anniversary of the genocide in Srebrenica. On 11 July 2015, a commemoration ceremony was held at the Potočari Memorial Centre in Bosnia and Herzegovina, with the participation of thousands of people and a host of international dignitaries. The Tribunal's President and Prosecutor attended the ceremony and delivered remarks, both emphasizing the importance of recognizing the crimes committed in Srebrenica as genocide.

9. The President also made presentations regarding the work of the Tribunal to the principal organs of the United Nations. On 13 October 2014, the President addressed the General Assembly regarding the twenty-first annual report of the Tribunal (A/69/225-S/2014/556; see also A/69/PV.24). On 10 December 2014, the President addressed the Security Council to present the Tribunal's twenty-second completion strategy report (S/2014/827; see also S/PV.7332). On 3 June 2015, the President addressed the Security Council regarding the Tribunal's twenty-third completion strategy report (S/2015/342; see also S/PV.7455).

10. The Tribunal also hosted a number of official visitors during the reporting period, who met with the President, Judges and other officials to learn about the Tribunal's achievements, challenges and ongoing work. Among the officials who visited the Tribunal were the Prime Minister of the Netherlands; a delegation of Korean judges, including the Chief Justice of the Republic of Korea and members of its Supreme Court; and diplomats from various embassies.

3. Judicial activity

11. The Statute of the Tribunal, the Rules of Procedure and Evidence and the Practice Directions confer upon the President certain judicial functions. In carrying out such duties, the President issued numerous orders assigning cases to Chambers and reviewed several decisions of the Registrar. The President also considered two requests for early release of persons convicted by the Tribunal, including a person whose appeal against his sentence is still pending; both of these requests were dismissed for lack of jurisdiction.

4. Transition to the International Residual Mechanism for Criminal Tribunals

12. The Hague branch of the International Residual Mechanism for Criminal Tribunals commenced operations on 1 July 2013, and since that date the President has been taking steps to ensure a smooth handover of functions to the Mechanism, conducting liaison with internal and external stakeholders and facilitating the development of necessary practices and procedures.

B. Bureau

13. Pursuant to rule 23 of the Rules of Procedure and Evidence, the Bureau is composed of the President, the Vice-President and the Presiding Judges of the Trial Chambers. During the reporting period, the President regularly consulted the Bureau on a host of general policy matters of the Tribunal.

C. Coordination Council

14. Pursuant to rule 23 bis of the Rules, the Coordination Council consists of the President, the Prosecutor and the Registrar. The Council held several meetings during the reporting period to discuss, inter alia, the completion strategy, archives, budgetary concerns and the transition of the functions of the International Tribunal for the Former Yugoslavia to the Mechanism.

D. Plenary sessions

15. During the reporting period, the judges held two plenary sessions, on 28 January and 8 July 2015. At the latter plenary, a decision was taken to amend rules 6 (A), 15 (B), 25 (B) and 26 (A) of the Rules of Procedure and Evidence of the Tribunal; the amendments became effective on 17 July 2015.

E. Rules Committee

16. The judicial membership of the Rules Committee comprises Vice-President Carmel Agius (Chair), President Theodor Meron, and Judges Christoph Flügge, Alphons Orie and O-Gon Kwon. The non-voting members include the Prosecutor, the Registrar and a representative of the Association of Defence Counsel. During the reporting period, the Rules Committee met on 26 February and 25 June 2015 to discuss proposed amendments to the Rules and make recommendations to the judges of the Tribunal. The amendments proposed by the Rules Committee were discussed and approved at the plenary of judges held on 8 July 2015.

III. Activities of the Chambers

A. Composition of the Chambers

17. Currently, 20 judges from 19 countries serve at the Tribunal. The Chambers are at present composed of the 13 permanent Tribunal judges, 4 permanent judges of the International Criminal Tribunal for Rwanda serving in the Appeals Chamber and 3 ad litem judges.

18. The permanent judges are: Theodor Meron (President, United States of America), Carmel Agius (Vice-President, Malta), Christoph Flügge (Germany), Alphons Orie (Netherlands), O-Gon Kwon (Republic of Korea), Fausto Pocar (Italy), Liu Daqun (China), Jean-Claude Antonetti (France), Bakone Justice Moloto (South Africa), Burton Hall (Bahamas), Howard Morrison (United Kingdom of Great Britain and Northern Ireland), Guy Delvoie (Belgium) and Koffi Kumelio A.

Afande (Togo). Patrick Robinson (Jamaica) also served as a permanent judge during the reporting period but left the Tribunal at the conclusion of his mandate with the delivery of the appeal judgement in the *Tolimir* case.

19. The permanent judges of the International Criminal Tribunal for Rwanda serving in the Appeals Chamber are: Arlette Ramaroson (Madagascar), Khalida Rachid Khan (Pakistan), Bakhtiyar Tuzmukhamedov (Russian Federation) and Mandiaye Niang (Senegal). William Hussein Sekule (United Republic of Tanzania) and Mehmet Güney (Turkey), permanent judges of the International Criminal Tribunal for Rwanda, also served in the Appeals Chamber of the Tribunal during the reporting period but left the Tribunal on 30 April, respectively at the conclusion of their mandates.

20. The Tribunal's ad litem judges are Antoine Kesia-Mbe Mindua (Democratic Republic of the Congo), Flavia Lattanzi (Italy) and Melville Baird (Trinidad and Tobago).

21. At the close of the reporting period, the Trial Chambers were composed of Judges Orie (presiding), Kwon (presiding), Flügge (presiding), Antonetti, Moloto, Hall, Morrison, Delvoie, Mindua, Lattanzi, Baird and Niang.

22. At the close of the reporting period, the Appeals Chamber was composed of Judges Meron (presiding), Agius, Pocar, Liu, Ramaroson, Khan, Tuzmukhamedov, Niang and Afande.

B. Principal activities of the Chambers

1. Trial Chamber I

Mladić

23. Ratko Mladić is charged with 11 counts of genocide, crimes against humanity, and violations of the laws or customs of war, all in relation to acts allegedly committed in Bosnia and Herzegovina between 12 May 1992 and 30 November 1995. The Trial Chamber is composed of Judges Orie (presiding), Flügge and Moloto. The trial commenced on 16 May 2012. In October 2014, the Chamber granted the Prosecution's request to reopen its case in order to present previously unavailable evidence relating to a mass grave discovered in the village of Tomašica, in the Prijedor municipality of Bosnia and Herzegovina. The preparation and presentation of this new evidence was estimated to take approximately four months and was completed on 8 July 2015, when the Defence case resumed. The Defence case is expected to continue until 2016, assuming that the Defence will use all the time it has been granted in order to present its case. Based on the extensive nature of the Defence case, the Trial Chamber expects that the post-Defence case hearings (involving the presentation of rebuttal and rejoinder evidence, as well as the testimony of possible Chamber witnesses) will take another four months. As a result of these factors, the Judgement is now expected in November 2017, eight months later than previously anticipated.

24. The judges and legal support team have taken a variety of measures to expedite preparation of the trial judgement, including requesting assignment of additional staff resources to deal with the additional complexities raised by the reopening of the Prosecution case and the magnitude of the Defence case. These

additional staff members will be assigned to the *Mladić* case on a staggered basis as they complete their duties on other cases.

2. Trial Chamber II

Hadžić

25. Goran Hadžić is charged with 14 counts of crimes against humanity and violations of the laws or customs of war, all in relation to acts allegedly committed in Croatia and Serbia between 25 June 1991 and December 1993. The Trial Chamber is composed of Judges Delvoie (presiding), Hall and Mindua. The trial commenced on 16 October 2012 and the judgement is now expected in October 2016, 10 months later than previously anticipated. The delay in the delivery of the trial judgement is attributable to Mr. Hadžić's health condition. The trial has been adjourned since 20 October 2014 and Mr. Hadžić is currently on provisional release. In March and June 2015, the Prosecution filed motions to proceed with the Defence case. In March 2015, the Prosecution also filed a proposal for expediting the presentation of the Defence case. In June 2015, the Defence filed a motion to terminate or, in the alternative, to stay the proceedings indefinitely, in the light of Mr. Hadžić's health condition. The Chamber is expecting more medical reports in the coming weeks, which it will take into account in deciding the parties' pending motions and in determining whether the trial proceedings can be continued. The impact of Mr. Hadžić's health situation and the prolonged adjournment of the trial on the completion of the trial judgement can thus not be fully assessed at this time. However, October 2016 is the Chamber's current best estimate for the completion of this case.

3. Trial Chamber III

Karadžić

26. Radovan Karadžić is charged with 11 counts of genocide, crimes against humanity, and violations of the laws or customs of war, all in relation to acts allegedly committed in Bosnia and Herzegovina between 1992 and 1995. The Trial Chamber is composed of Judges Kwon (presiding), Morrison, Baird and Lattanzi (reserve). The trial commenced on 26 October 2009. Closing arguments were heard between 30 September and 7 October 2014. The judgement is expected in December 2015, two months later than previously projected. The delay in the delivery of the judgement is attributable to serious staffing shortages caused by the departure of experienced staff members. The departure of these staff members, who possessed deep knowledge of this complex case, placed significant additional burdens on remaining staff members and resulted in this delay in the expected completion date of the trial.

27. A variety of measures to expedite preparation of the trial judgement has been taken, including recruitment of additional staff members, who are being provided support to become familiar with the case as rapidly as possible. Thanks to these measures, the trial judgement is still scheduled to be rendered in 2015.

Šešelj

28. Vojislav Šešelj is charged with nine counts of crimes against humanity and violations of the laws or customs of war, all in relation to acts allegedly committed in Croatia, Bosnia and Herzegovina, and Vojvodina (Serbia) between August 1991 and September 1993. Following the disqualification of Judge Harhoff in October 2013, while the case was in its deliberation phase, the Trial Chamber is now composed of Judges Antonetti (presiding), Niang and Lattanzi. The Trial Chamber's decision that the trial could continue, despite Judge Harhoff's replacement by Judge Niang, was upheld by the Appeals Chamber. Following Judge Niang's familiarization with the trial record, the Chamber commenced fresh deliberations on 30 June 2015. The last quarter of the year remains the Chamber's anticipated date for the delivery of the judgement.

4. Rule 11 bis Referral Bench

29. The Rule 11 bis Referral Bench has transferred all low- and mid-level accused from its trial docket in accordance with Security Council resolution 1503 (2003). The Rule 11 bis Referral Bench issued no decisions during the reporting period.

5. Hearings pursuant to rule 75 (H) and (G), rule 75 bis and rule 75 ter of the Rules of Procedure and Evidence

30. There were no hearings pursuant to rule 75 bis of the Rules of Procedure and Evidence. Since the responsibility for applications in cases where no chamber of the Tribunal remains seized has now moved to the Mechanism, the former specially appointed chamber that addressed applications under these rules no longer exists.

6. Principal activities of the Appeals Chamber

(a) Interlocutory appeals

31. The Appeals Chamber issued six decisions on interlocutory appeals.

(b) Appeals on the merits

32. The Appeals Chamber rendered two final judgements during the reporting period.

33. In the case of *Prosecutor v. Vujadin Popović et al.*, involving six appellants, the appeal judgement was rendered on 30 January 2015. The Appeals Chamber affirmed the majority of the defendants' convictions, while granting certain grounds of appeal raised by the Appellants. The Appeals Chamber affirmed Mr. Popović's and Mr. Beara's sentences to life imprisonment; affirmed Mr. Nikolić's sentence of 35 years of imprisonment; reduced Mr. Miletić's sentence from 19 to 18 years of imprisonment; and affirmed Mr. Pandurević's sentence of 13 years of imprisonment.

34. In the case of *Prosecutor v. Zdravko Tolimir*, the appeal judgement was rendered on 8 April 2015. The Appeals Chamber affirmed the majority of Mr. Tolimir's convictions, while granting certain grounds of his appeal. The Appeals Chamber affirmed Mr. Tolimir's sentence of life imprisonment.

35. Three Appeals Chamber cases — *Prosecutor v. Jovica Stanišić and Franko Simatović*, *Prosecutor v. Mićo Stanišić and Stojan Župljanin* and *Prosecutor v. Jadranko Prlić et al.* — are outstanding.

36. In the case of *Prosecutor v. Jadranko Prlić et al.*, the projected time frame for delivery of the appeal judgement has been revised and it is now expected in November 2017, five months later than previously anticipated. Delay in the delivery of the appeal judgement is caused by two factors: staff shortages and additional complexities identified after further review of case materials and the parties' voluminous submissions. Briefing in this case was completed on 29 May 2015.

37. The judges and legal support team are taking a variety of measures to minimize delays in the preparation of the appeal judgement. These included the recruitment of additional staff members and preparation of a plan to deploy additional staff resources on a staggered basis with the completion of other cases. The appeal hearing is still expected to take place in 2016.

38. In the case of *Prosecutor v. Jovica Stanišić and Franko Simatović*, the appeal hearing took place on 6 July 2015. The projected time frame for delivery of the appeal judgement has been revised and the appeal judgement is now expected by December 2015, later than the previous forecast of June 2015. Delay in the delivery of the appeal judgement is caused by three factors, the most significant of which is high staff attrition rates. Several members of the legal support team who had worked on the case from the beginning have left, including a highly experienced legal officer, an experienced associate legal officer and another associate legal officer. As a result of those departures, the legal support team no longer has a member who has worked on the case since its commencement. Moreover, further analysis of case materials identified additional legal complexities that have required and will require more time to address. Finally, the workload of several judges on the bench in other ongoing appeals has been immense.

39. The judges and legal support team are taking a variety of measures to minimize delays in the preparation of the appeal judgement. Two new members joined the team in February 2015 and additional efforts to find replacement staff have been made. However, new staff members require substantial periods of time to become familiar with the specifics of this complex case. Efforts have also been made to coordinate smoothly the scheduling of the pending appeals to which the judges are simultaneously assigned. As a result of those efforts, it was possible to schedule the appeal hearing of this case on 6 July 2015.

40. In the case of *Prosecutor v. Mićo Stanišić and Stojan Župljanin*, the Presiding Judge has revised the projected time frame for delivery of the appeal judgement and it is now expected in June 2016, seven months later than previously anticipated. The appeal hearing is anticipated to take place in late 2015. In the light of this delay, a number of judges assigned to the case, but who were originally elected to the International Criminal Tribunal for Rwanda, have been replaced, owing to the scheduled closure of that Tribunal by December 2015. Delay in the delivery of the appeal judgement is caused by two factors. The most significant involves staffing-related matters, including the departure of the team leader at the beginning of the year and the unavailability of experienced staff members who could not join the team because they remained fully engaged in other cases for a significant part of the reporting period. Those circumstances resulted in the legal team's operating without a leader and full-time coordinator for approximately two months. In addition, the legal drafting team identified additional legal complexities related to challenges raised by appellants in connection with the role and alleged bias of former Judge Frederik Harhoff, who sat on the trial bench of this case.

41. The judges and legal support team are taking a variety of measures to expedite the preparation of the appeal judgement. A new team leader has been assigned to the case following the completion of her duties in another case, and additional staff members have joined the team. In addition, the drafting team is coordinating its work on related grounds to ensure early consistency between different sections of the appeal judgement.

(c) Other appeals

42. A total of 79 pre-appeal decisions and orders were issued during the reporting period.[1]

IV. Activity of the Office of the Prosecutor

A. Completion of trials and appeals and transition to the International Residual Mechanism for Criminal Tribunals

43. During the reporting period, the Office of the Prosecutor remained focused on expeditiously completing its work in the final trial and appeal proceedings, while simultaneously managing its downsizing process. The Office continued to reallocate staff and resources to ensure that all court-ordered deadlines were met. The Office continued to assist Mechanism officials and personnel in transferring functions in accordance with the transitional arrangements.

44. In the current reporting period, judgements were issued in two appeals (*Popović et al.* and *Tolimir*). At the end of the reporting period, two trials are in the defence evidence presentation phase (*Hadžić* and *Mladić*); in two trials the parties are awaiting judgement by the Trial Chamber (*Karadžić* and *Šešelj*). In one case on appeal, the parties are awaiting judgement by the Appeals Chamber (*Stanišić and Simatović*); and in two appeals the parties have completed their written submissions and are awaiting scheduling of the oral hearing (*Stanišić and Župljanin* and *Prlić et al.*).

B. Cooperation

45. The Office of the Prosecutor continued to rely on the full cooperation of States, as required under article 29 of the statute of the International Tribunal for the Former Yugoslavia, to fulfil its mandate. The Office remains satisfied with the level of cooperation between the Office and the authorities in Bosnia and Herzegovina, Serbia and Croatia.

1. Cooperation of Serbia

46. Serbia continued to play an important role in ensuring the successful completion of the work of the Office of the Prosecutor. The Office's access to documents and archives in Serbia remains important for ongoing trial and appeals proceedings of the Tribunal, and Serbia has shown diligence in processing the Office's requests for assistance.

[1] This figure includes orders and decisions filed as of 31 July 2015.

47. Serbia remains obligated to cooperate in transferring custody of individuals to the International Tribunal for the Former Yugoslavia. The Office of the Prosecutor will continue to closely monitor all cooperation issues.

2. Cooperation of Croatia

48. During the reporting period, Croatia responded diligently to the requests for assistance from the Office of the Prosecutor.

3. Cooperation of Bosnia and Herzegovina

49. During the reporting period, the authorities of Bosnia and Herzegovina, at both the State and entity levels, responded promptly and adequately to the requests from the Office of the Prosecutor for documents and access to Government archives. The authorities also provided valuable assistance with witness protection matters and facilitated the appearance of witnesses before the Tribunal.

4. Cooperation between States of the former Yugoslavia in judicial matters

50. During the reporting period, meaningful results were achieved in cooperation between regional prosecution offices in the investigation and prosecution of war crimes, demonstrating that national authorities are responding to the concerns previously expressed by the Office of the Prosecutor. In December 2014, Serbian and Bosnia and Herzegovina authorities conducted coordinated arrest operations in relation to the notorious *Štrpci* case, and initial proceedings are under way in both Serbia and Bosnia and Herzegovina to bring those arrested to trial. In March 2015, Serbian authorities, with the cooperation and support of Bosnia and Herzegovina authorities and the Office of the Prosecutor, arrested eight suspects on suspicion of participation in the Srebrenica genocide. Unfortunately, however, the *Djukić* case and other developments during the reporting period demonstrated that regional cooperation continued to face key challenges.

51. The Office of the Prosecutor encourages governmental and political authorities to avoid politicizing regional cooperation issues and allow judicial processes to resolve matters in accordance with international and national laws.

5. Cooperation of other States and organizations

52. Cooperation and support from States outside the former Yugoslavia and from international organizations remains integral to the successful completion of International Tribunal for the Former Yugoslavia cases. Assistance continues to be needed to access documents, information and witnesses, as well as in matters related to witness protection, including witness relocation. The Office of the Prosecutor again acknowledges the support it received during the reporting period from States Members of the United Nations and international organizations, including the United Nations and its agencies, the European Union, the North Atlantic Treaty Organization, the Organization for Security and Cooperation in Europe and the Council of Europe.

C. Transition from the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 to national war crimes prosecutions

53. As the Tribunal nears the completion of its mandate, the Office of the Prosecutor remains committed to promoting effective war crimes prosecutions in the former Yugoslavia through ongoing dialogue with counterparts and efforts to build capacity in the national justice sectors. During the reporting period, the Office continued to assist national judicial authorities in the former Yugoslavia to more successfully handle their war crimes cases. The joint European Union/International Tribunal for the Former Yugoslavia Training Project for National Prosecutors and Young Professionals from the former Yugoslavia was a central component of the Office. The Office also provided information and evidence in respect of ongoing investigations and trials, while further enabling access to its databases.

54. The Office of the Prosecutor is concerned with the pace and effectiveness of war crimes prosecutions by national authorities in the former Yugoslavia. Only a limited number of the outstanding cases at the national level have been prosecuted to date. Much more remains to be done on the most complex and highest-priority cases, particularly those involving senior- and mid-level officials.

55. Regarding the category II cases (investigation files) transferred by the Office of the Prosecutor to the Prosecutor's Office of Bosnia and Herzegovina, there was only limited progress during the reporting period. The Chief Prosecutor has given strong assurances, however, that prosecutorial decisions will be taken in all outstanding cases by the end of 2015. More generally, the implementation of the Bosnia and Herzegovina National War Crimes Strategy continues to be considerably delayed. Visible progress was not made during the reporting period resolving issues in the work of the Prosecutor's Office of Bosnia and Herzegovina, including quality control, failure to join related cases and insufficient charges for crimes against humanity. However, positive progress was made in the prosecution of the Srebrenica genocide with the filing of an indictment against three former mid-level police officials. There was also quantitative progress in the processing of war crimes cases at the entity level.

56. During the reporting period, there were a number of important results in the processing of war crimes cases in Serbia that indicate the War Crimes Prosecutor's Office is intensifying its activities and more fully directing its attention towards complex and high-profile cases. There are areas for additional efforts in the overall pace and extent of war crimes processing in Serbia, particularly involving senior- and mid-level military, police and political officials. The Office of the Prosecutor is concerned by events during the reporting period that have the appearance of improper influence on judicial authorities and pressure to stop war crimes prosecutions.

57. The Office of the Prosecutor has concluded that one of the most serious barriers to effective national justice is that national prosecution offices have not yet fully adopted and implemented strategic approaches to the investigation and prosecution of war crimes under their jurisdiction. Experiences at the International Tribunal for the Former Yugoslavia and other international criminal tribunals have demonstrated that strategic investigations and prosecutions in the framework of an

overarching prosecutorial strategy are essential when confronting large numbers of crimes committed in an organized manner. Such methods ultimately allow for more comprehensive accountability, including in particular by bringing to justice senior- and mid-level officials who bear responsibility. The Office urges national judicial authorities to adopt prosecutorial strategies to ensure that their investigations and prosecutions are coordinated and directed to achieve national post-conflict justice goals.

D. Capacity-building and legacy

58. During the reporting period, the Office of the Prosecutor continued its efforts to transfer expertise and information to national authorities in order to build capacity for national war crimes prosecutions in the former Yugoslavia. It also shared the lessons learned and best practices developed from its work with national counterparts working across a range of criminal justice sectors in Africa, South America, Europe and the Middle East. While remaining focused on its core functions, the Office continued work on a manuscript recording the fundamental insights of the Office regarding the prosecution of crimes of sexual violence, crafted with a capacity-building focus in mind. The manuscript is scheduled for publication in early 2016.

V. Activity of the Registry

59. During the reporting period, the Registry provided judicial, diplomatic, operational and administrative support for the Tribunal and managed its Outreach Programme.

60. The Registry offers its services to the Tribunal's judges and parties to proceedings, witnesses and detained persons, Member States and international organizations. The Registry administers court operations and judicial records, provides assistance to national jurisdictions, offers protection and support services to witnesses, administers the Tribunal's legal aid scheme, explains the mandate and achievements of the Tribunal, and manages the United Nations Detention Unit. It develops policies and negotiates international agreements on behalf of the Tribunal. In addition, the Registry provides the entire spectrum of administrative services necessary for the smooth functioning of the Tribunal, including human resources, security, procurement, finance, budget, information technology and general services, as well as the provision of health services.

A. Office of the Registrar

61. The Immediate Office of the Registrar supported the Registrar in his overall responsibility of directing the Registry, including supervising all Registry Sections and representing the Tribunal in its relations with the host State and other Member States, international organizations and external stakeholders. The Immediate Office of the Registrar also assisted in representing the Tribunal in its relations with the various organs of the United Nations, their departments and offices, including in submissions to the Management Evaluation Unit and the United Nations Dispute and Appeals Tribunals.

62. The Immediate Office of the Registrar also continued to support the Registrar in managing operations of the Mechanism Registry in both Arusha and The Hague, with a special focus on supporting judicial proceedings before the Mechanism, finalizing its policies and operating procedures and assisting in recruitment exercises, to guarantee the smooth and undisturbed functioning of both branches. Tribunal staff worked hand in hand with Mechanism staff to ensure that Mechanism policies are harmonized across the two branches and that they reflect the most efficient and effective procedures, benefiting from lessons learned at the Tribunals.

63. The Immediate Office of the Registrar continued to assist the Registrar and the Administrative Support Service Division with the implementation of downsizing procedures, including preparations for and commencement of the comparative review exercise for the biennium 2016-2017, and provided legal and policy advice to the Division regarding a variety of human resources issues.

B. Division of Judicial Support Services

64. The Division of Judicial Support Services consists of the Court Support Services Section, the Judicial Records Unit, the United Nations Detention Unit, and the Conference and Language Services Section. The Court Support Services Section has four units: the Witness Support and Operations Unit and the Witness Protection Unit (collectively referred to as the Victims and Witnesses Section); the Courtroom Operations Unit; and the Office for Legal Aid and Defence.

65. During the reporting period, the Registry supported four cases on trial and five on appeal (two of which were completed during the reporting period), involving 20 accused persons, and filed approximately 180 legal submissions relevant to the Tribunal's ongoing or completed cases.

1. Court Support Services Section and Judicial Records Unit

66. As of 31 July 2015, the Victims and Witnesses Section has provided operational and psychosocial assistance to 206 witnesses (and accompanying support persons) appearing before the Tribunal. In addition, the Section continued to consult with witnesses on applications to vary their protective measures in other Court proceedings, which have increased over the reporting period. Further, for its Pilot Study on the long-term impact of giving testimony at the Tribunal, the Victims and Witnesses Section achieved its goal of completing 300 witness interviews. Presentation and publication of the Pilot Study results are expected in early 2016. The Section also took active steps to address security-related concerns by witnesses, including in cases that have resulted in relocation. The Victims and Witnesses Section, finally, continued working closely with the Mechanism to streamline its practices and strengthen the working relationship between the two branches of the Mechanism.

67. The Courtroom Operations Unit supported four trials and five appeals over the reporting period, including eight videoconference links, three rule 92 bis missions and one chain of custody visit. It also assisted four self-represented accused through its *Pro Se* Office, including a convicted person. As of 31 July 2015, the Judicial Records Unit, in cooperation with the Courtroom Operations Unit, had processed approximately 90 requests for assistance submitted by national jurisdictions.

68. Moreover, as of 31 July 2015, the Judicial Records Unit had processed 3,429 Tribunal filings (124,691 pages), 299 Mechanism filings (1,920 pages) and 622 transcripts (55,005 pages). The Unit also facilitated the sharing and transfer of judicial records between the Tribunal and the Mechanism.

69. In November 2014, following a pilot study, a project was commenced to verify the completeness and accuracy of the most critical data (such as witness-related information) in judicial records of closed cases. Following their verification, the judicial records of several cases were successfully transferred to the Mechanism's Archives and Records Section. In view of its importance, the project will be continued and completed by the Mechanism.

70. The Office for Legal Aid and Defence continued to administer the legal aid system of the Tribunal, overseeing more than 170 defence team members. Of the 20 individuals in trial and appeal proceedings during the reporting period, 18 were found unable or partially unable to remunerate counsel and were thus granted legal aid. Approximately half of those cases were ranked at the highest complexity level. The Office also assisted detained witnesses with their legal representation and administered the appointment and remuneration of amici curiae. In addition, the Office provided assistance on legal, policy and operational matters relating to the management of the legal aid system of the Mechanism.

2. United Nations Detention Unit

71. The United Nations Detention Unit continued to support both the Tribunal and the Mechanism and was responsible for detaining up to 23 individuals in conditions exceeding the relevant international standards. It facilitated detainees' presence at court hearings, ensured the care and security of detained witnesses, and implemented eight provisional release decisions and orders. The Detention Unit continues to support self-represented accused in the preparation of their defence cases with a wide range of facilities. Detainees were provided with in-house medical care and specialist medical assistance. The Unit continued to tailor its regime and services to meet the specific needs of an ageing detainee population, who present a number of health issues. In addition, it facilitated medical examinations by court-appointed medical experts and physicians chosen by detainees. In April 2015, in line with the steady decrease in the detainee population, the Unit decommissioned one of its wings, thereby reducing the number of cells from 52 to 32.

3. Conference and Language Services Section

72. The Conference and Language Services Section continued to provide interpretation, translation and court reporting services for the Tribunal, resulting in approximately 45,000 pages of translation, 1,350 conference interpreter days and 28,000 pages of transcripts over the year. In September 2014, the Section delivered the Bosnian/Croatian/Serbian translation of the French Trial Judgement issued in the *Prosecutor v. Prlić et al.* case. It did so only 16 months after the date of the original judgement. With approximately 1.3 million words or 4,260 United Nations pages in the original, that was the longest judgement ever translated by the Conference and Language Services Section. Furthermore, the Section continued to closely scrutinize translation requests in order to avoid duplicates, resulting in savings of approximately $235,000 over the reporting period.

C. Transfer of records

73. The Registrar established a high-level Records and Archives Working Group to coordinate and monitor the transfer of Tribunal records and archives to the Mechanism. The Group drew up an overall plan and a comprehensive risk assessment for the project. Further, the Mechanism Archives and Records Section continued to support Tribunal offices in preparing their records for transfer to the Mechanism, providing briefings for managers and training for staff to ensure that the required standards were met. The Section also implemented a new computer system to improve the efficiency and effectiveness of the transfer process. To date, the International Tribunal for the Former Yugoslavia has transferred approximately 30 per cent of the estimated total volume of physical records that are expected to be transferred to the Mechanism. That is a significant increase from the previous reporting period, owing to the transfer of a large quantity of judicial case records. The Tribunal also began to transfer digital records during the current reporting period.

D. Communications Service

74. The work of the Tribunal continues to attract a wide audience. During the reporting period, the Tribunal hosted educational visits for more than 300 groups, welcoming over 6,500 visitors, and the audience base for the Tribunal's social media platforms continued to expand. The Tribunal's website recorded more than 2 million page views from all over the world.

75. In addition to a variety of legacy-related content posted on its website, the Tribunal has dedicated a special section of its website to the twentieth anniversary of the genocide in Srebrenica. That section includes a presentation of the Tribunal's cases involving the events in Srebrenica and a short documentary. Since its launch on 15 June 2015, the page has been visited by more than 120,000 persons and was broadcast by more than 10 television stations in Bosnia and Herzegovina, as well as other television stations in the region of the former Yugoslavia.

76. The outreach programme continued and extended its efforts to inform people in the former Yugoslavia about the Tribunal. Through 29 high school and university lectures and presentations, the outreach programme reached around 1,000 students and teachers across the region. The field offices of the Tribunal in Belgrade (Serbia) and Sarajevo (Bosnia and Herzegovina) organized 28 outreach events, reaching more than 1,200 individuals.

77. The fifth in the series of documentaries about the work of the Tribunal ("Crimes before the ICTY: Višegrad") was completed and the documentary "Crimes before the ICTY: Central Bosnia" was screened in Bosnia and Herzegovina, Croatia and Serbia. During the reporting period, 11 television stations in the former Yugoslavia, as well as United Nations Television, broadcast the documentaries, reaching tens of thousands of viewers.

78. The Tribunal continued its collaboration with local authorities and international partners to establish information centres in the former Yugoslavia. In Bosnia, the project has the support of all three members of the Presidency (Bosniak, Serbian and Croatian), who agreed that at least two information centres should be established in Bosnia, one in each of the two constituent entities (Federation of

Bosnia and Herzegovina and Republika Srpska), i.e., in Sarajevo and Banja Luka. In Sarajevo, the City of Sarajevo has been identified as the local partner that will host the information centre, and the Mayor of Sarajevo has pledged space for the information centre in the renovated City Hall. Efforts are currently ongoing for the International Tribunal for the Former Yugoslavia to sign a memorandum of understanding with the City of Sarajevo, which would then guide the process of the establishment of the information centre in the city. The authorities of the Republika Srpska are also exploring possibilities for the establishment of the information centre in Banja Luka. Further, following a request made by victims' associations from Srebrenica during a meeting with the Tribunal's President, the Tribunal has contacted the Memorial Centre Srebrenica-Potočari to explore the possibility that another information centre be established in the Srebrenica region, on the Memorial Centre's premises. The representatives of the Memorial Centre have confirmed their general interest in joining the project and agreed an exchange of letters of interest to initiate the process. In Croatia, authorities restated their position that an information centre could be hosted on the premises of the University of Zagreb, should the decision be made to establish an information centre in Croatia. In Serbia, the Government is yet to provide an official response to the proposal to establish an information centre. Initiatives in all countries will require external funding and support.

79. The European Union has provided funding for the continuation of the outreach programme until the end of August 2015. If additional funding is not secured, it is likely that the programme will terminate before the end of 2015, compromising efforts to create an infrastructure to provide information on the work of the Tribunal after its closure. The Tribunal stresses the importance of resolution 65/253, in which the General Assembly encouraged the Secretary-General to continue to explore measures to raise voluntary funds for outreach activities, and it calls upon States and other donors to offer their support.

E. Administrative Support Service Division

80. By resolution 68/256, the General Assembly approved the proposed programme budget for the Tribunal and appropriated the full amount of $201,688,200 gross ($179,998,600 net) for the biennium 2014-2015.

81. During the 2014-2015 biennium, extrabudgetary resources are estimated at $1,381,300 to be utilized for a variety of Tribunal activities. As of 31 July 2015, cash donations of approximately $53.4 million had been received by the Voluntary Fund over the lifetime of the Tribunal. For the period from 1 August 2014 to 31 July 2015, the Tribunal received and administered $894,360 in voluntary cash contributions.

82. The Administrative Support Service Division made considerable progress towards the implementation of the Tribunal's administrative liquidation plan, working toward the consolidation of staff into a single facility and the streamlining of asset disposal processes.

83. As part of the overall liquidation plan, the Administrative Support Service Division remained actively engaged in staff downsizing efforts, the plan for which, as in previous years, was formulated in full consultation with staff representatives. The Office of Internal Oversight Services noted that the comparative review and

downsizing process implemented at the Tribunal represented "best practice in leadership of a change process". The Tribunal is continuing its planned downsizing process for the biennium 2014-2015, with adjustments to timelines for downsizing of posts made in line with revisions to the trial and appeal schedule. The approved budget for 2014-2015 contemplates a phased reduction of 361 temporary posts and general temporary assistance positions during that biennium.

84. The Career Transition Office of the Tribunal supports staff in all aspects of career transition during the period of downsizing and closure of the Tribunal by offering training courses and organizing workshops and briefings.

85. The Division also coordinated the preparation of the proposed budgets for the Tribunal and Mechanism for the biennium 2016-2017, noting that the preparation of the Mechanism budget was conducted in close consultation with the International Criminal Tribunal for Rwanda, which will hand over its remaining activities to the Mechanism at the close of 2015. Moreover, during the reporting period the Administrative Support Service Division presented its first financial statements compliant with the International Public Sector Accounting Standards (IPSAS) and undertook Umoja conversion activities.

86. Finally, the Division provided overall administrative support and services to the Mechanism in the areas of human resources, general services, procurement, finance, information technology and security. Further, in anticipation of the Tribunal's closure at the end of 2017, the Tribunal continued to support the Mechanism in the creation of a lean, self-standing administration.

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Globalization and interdependence

Development cooperation with middle-income countries

Report of the Secretary-General

Summary

Middle-income countries are facing a number of challenges in the three dimensions of sustainable development. While economic growth in these countries has remained robust, the pace has nevertheless slowed owing to both less favourable external conditions and domestic fragilities. This has also led to more challenging conditions in labour markets, besides pronounced structural employment problems in a number of middle-income countries. While the middle-income countries as a group have registered remarkable progress towards the Millennium Development Goals, they are facing significant challenges in terms of sustainable development. Achieving economic, social and environmentally sustainable development requires coordinated policy efforts, and a number of middle-income countries have initiated measures that can be seen as leading examples.

Development cooperation between the United Nations system and middle-income countries is as varied as it is important for the achievement of sustainable development in these countries. Upstream cooperation activities and, in particular, capacity-building have gained in significance, as have concerns about environmental sustainability. Future initiatives need to take into account country-specific needs as well as the trade-off between creating a more coherent policy background for development cooperation of the United Nations system with middle-income countries and preserving sufficient independence to meet with the specific mandates of individual agencies.

* A/70/150.

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I. Introduction

1. In its resolution 68/222, the General Assembly requested the Secretary-General to submit a report on development cooperation with middle-income countries at its seventieth session. The present report responds to this request.

2. Similarly to the previous report on this matter,[1] the present report tentatively identifies middle-income countries as those with a per capita gross national income (GNI) of between $1,045 and $12,736, following the World Bank classification using the Atlas method as of 1 July 2015. In 2015, there are 104 countries in this category.[2] The World Bank distinguishes this group of countries further, classifying those countries with a per capita GNI of less than $4,125 as lower-middle-income countries. It does not recognize the United Nations category of least developed countries but instead identifies low-income countries as one category in terms of its lending policies. In this sense, middle-income countries are defined as an intermediate category in terms of per capita income alone, unlike the category of least developed countries, which also considers economic and environmental vulnerability and the level of human development.

II. Major challenges for the development of middle-income countries

A. Recent macroeconomic and development trends

1. Economic growth

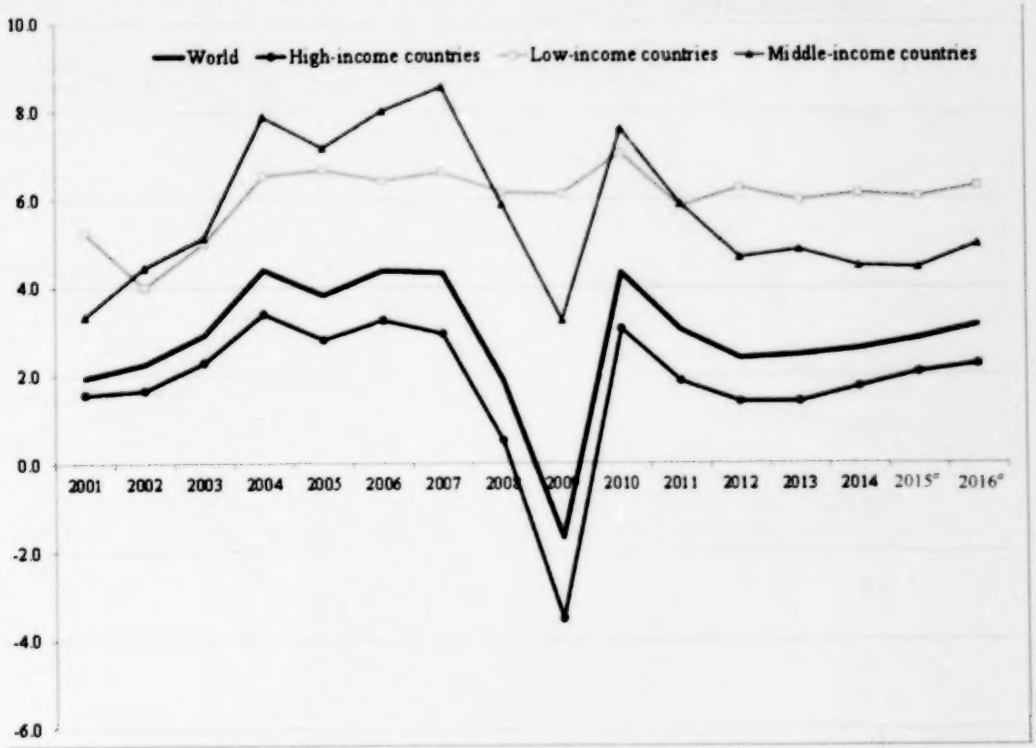
3. Economic strength in middle-income countries has deteriorated since 2011, although their aggregate growth rate has remained above the world average. Between 2012 and 2014, average economic growth in these countries slowed to 4.7 per cent from above 8.0 per cent in 2006-2007 and is expected to remain at a similar pace in the near term owing to less favourable external conditions, including lower commodity prices, and significant domestic fragilities (see figure I).[3] Overall, the economic outlook for middle-income countries, which represent more than a third of global gross domestic product (GDP), seems to be more challenging in comparison with the previous decade, amid significant heterogeneity across regions and countries.

[1] A/68/265.

[2] The number of middle-income countries quoted in the text refers to their status at the respective time.

[3] For a detailed analysis of the global economic outlook, see *World Economic Situation and Prospects 2015* (United Nations publication, Sales No. E.15.II.C.2) and *World Economic Situation and Prospects: Update as of mid-2015*.

Figure I
Annual real GDP growth by country groups, 2001-2016 (percentage change)

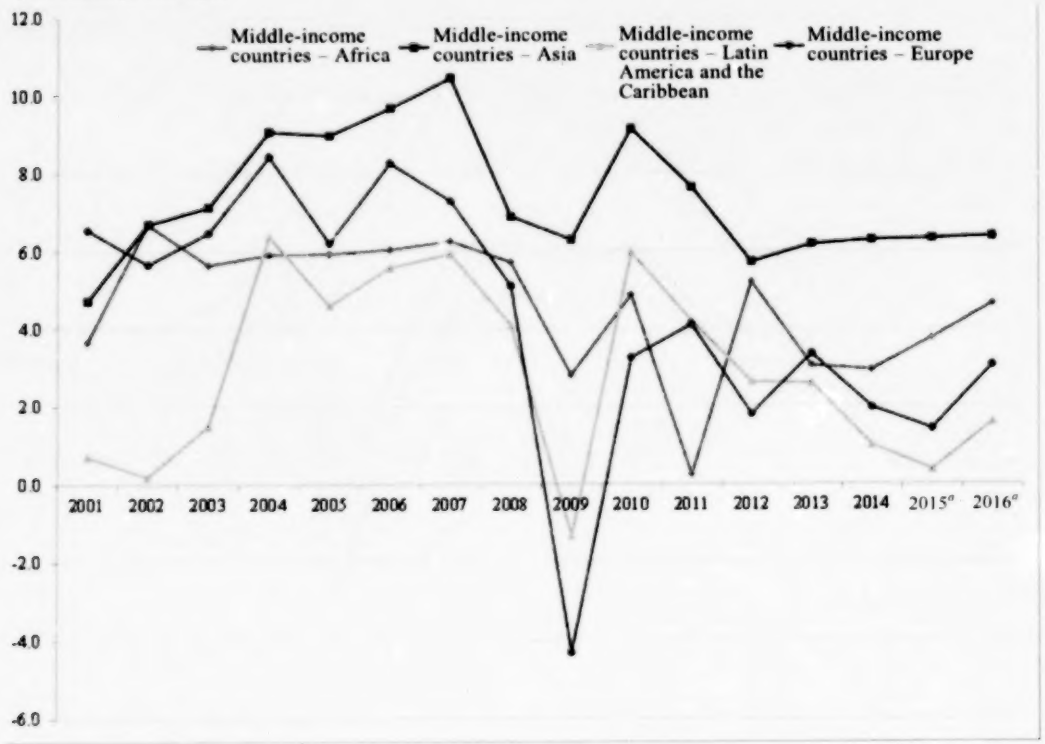


Source: Department of Economic and Social Affairs.
[a] United Nations forecasts.

4. Among regions, middle-income countries in Asia have been able to maintain the highest, and more stable, growth rates, about 6.0 per cent on average in the past three years, owing to robust domestic demand, strong exports and the increased diversification of their economies (see figure II). By contrast, middle-income countries from Latin America and the Caribbean have seen the largest decline in growth in recent years, amid lower commodity prices, a sharp decline in investment and, in some cases, institutional weaknesses. These countries grew by only 1.0 per cent in 2014 and the economic slowdown is expected to continue further in 2015, particularly in countries such as Argentina, Brazil and Venezuela (Bolivarian Republic of). Similarly, more challenging external conditions, in addition to increased geopolitical tensions and domestic vulnerabilities, have also prompted economic conditions to deteriorate in middle-income countries in Europe, particularly in Ukraine. Despite a large heterogeneity, growth of middle-income countries in Africa has also slowed down, from 5.8 per cent in 2012 to only 3.0 per cent in 2013 and 2.9 per cent in 2014, on the back of lower commodity prices, conflicts and political instabilities and subdued external demand. Per capita GDP growth has also lost pace in most middle-income countries in recent years, with the exception of Asia.

Figure II

Annual real GDP growth of middle-income countries by region, 2001-2016 (percentage change)



Source: Department of Economic and Social Affairs.

[a] United Nations forecasts.

2. Employment and labour markets

5. Since the global financial crisis of 2008-2009, several labour market indicators in middle-income countries have improved noticeably. For instance, unemployment rates showed a significant downward trend, employment rates increased steadily to record highs, and countries such as Brazil, Indonesia and Turkey posted higher employment rates in 2014 than in 2007. These developments were major factors also in explaining the progress in some social indicators such as poverty reduction. Nevertheless, labour market indicators in middle-income countries have somewhat worsened in recent years, owing to the deterioration of economic conditions. As a result, employment growth has declined substantially, and unemployment reversed its previous trend and started to increase moderately. However, middle-income countries face various structural challenges with respect to their labour markets, including high youth unemployment, notable gender gaps and informality.

3. Inflation

6. Inflation in middle-income countries remains stable and moderate, amid lower oil prices and moderate economic growth. In 2014, inflation in these countries

reached 6.8 per cent, 0.6 percentage points lower than in 2013 and similar to the average inflation rate in the previous decade of 6.6 per cent. Still, inflation figures in these countries are relatively high in comparison with the world average of 3.1 per cent in 2014 and with the situation in high-income countries, where inflation rates are low and deflation risks remain. Despite this aggregate picture, there are significant differences across regions and countries. For instance, inflation in middle-income countries in Latin America and the Caribbean increased from 8.3 per cent in 2013 to 11.6 per cent in 2014, mostly as a result of high inflation rates in some South American countries such as Argentina and Venezuela (Bolivarian Republic of). By contrast, inflation in middle-income countries in Asia declined markedly from 7.2 in 2013 to 4.7 in 2014, especially in countries such as India, Sri Lanka and Viet Nam.

4. International trade

7. The overall external demand for middle-income countries improved somewhat in 2013-2014, but it is still less conducive to their export growth compared with the pre-crisis period owing to factors such as lower commodity prices for commodity-exporting countries, the slow recovery in developed economies and the global slowdown in investment activities. The share of middle-income countries both in world exports and in world imports continued to increase in 2013-2014, reaching around 25.7 per cent, which underlines their relevance in the world economy. However, those developments were largely led by middle-income countries in Asia, as exports from Latin America stagnated in real terms in 2013 and grew only very modestly in 2014, while exports from Africa declined drastically in 2013, in part because of falling oil exports from Libya, and failed to recover in 2014. In many middle-income countries, export product concentration indices remain high, which highlights their vulnerability to external shocks. While in China, the index[4] is close to zero, reflecting high diversification of the export base, in several African middle-income economies, the index is close to one. Many middle-income countries also have high export market concentration indices, thus depending on a small number of trading partners. For many countries, there was little in the way of positive dynamics to increase the diversity of their export base, as the export product concentration index in 2012 remained at approximately the same level as in the mid-1990s.

5. Capital inflows

8. Capital inflows into middle-income countries have shown a downward trend in recent years, amid weakening economic conditions, lower commodity prices, increased geopolitical tensions in some regions and expectations of a normalization of monetary policy in the United States of America. In addition, cross-border bank lending continues to be subdued in middle-income countries in Europe, but these banking flows maintain a strong pace in Asia. Meanwhile, foreign direct investment (FDI), the most stable and relevant source of external financing in middle-income countries, has also declined. For example, in 2014, FDI into Latin America and the Caribbean declined by 16 per cent.[5] On the other hand, some middle-income countries have become a more important source of capital outflows, particularly of FDI, reflecting their growing size and increasing savings in the world economy. In the outlook, more significant changes in investor sentiment related to global

[4] Herfindahl-Hirschman product concentration index.

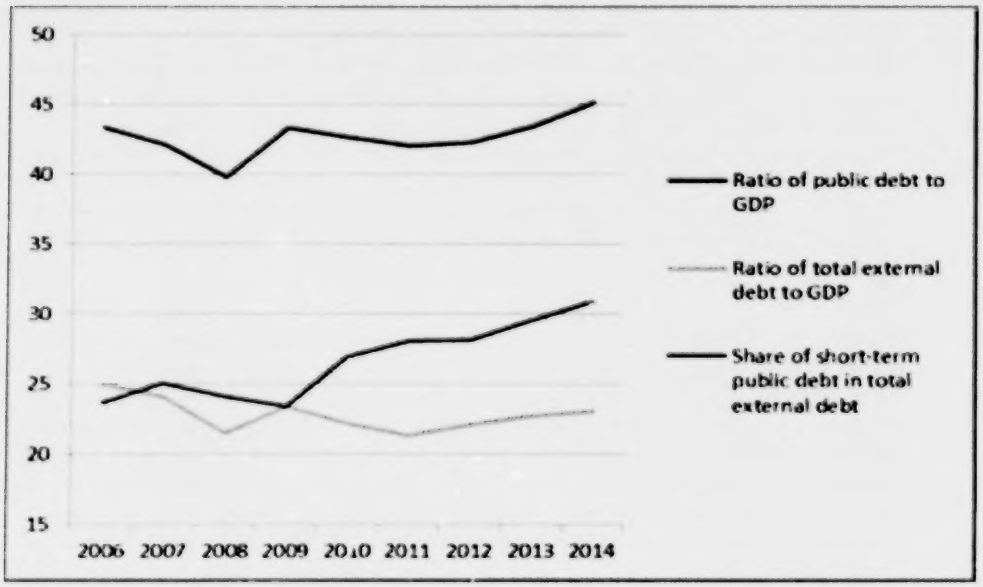
[5] Economic Commission for Latin America and the Caribbean (2015), *Foreign Direct Investment in Latin America and the Caribbean 2014*, Santiago.

liquidity conditions and the economic prospects of middle-income countries may provoke larger retrenchments of capital inflows, with significant consequences for private investment, exchange rates, bond yields and equity prices. In addition, many middle-income countries remain excessively dependent on remittance inflows, which may also become volatile periodically.

6. Sustainability of public debt

9. Generally, middle-income countries have much lower public debt levels than the advanced economies, with their public debt currently standing at around 45.1 per cent of GDP (see figure III).[6] Public and publicly guaranteed debt service for those countries as a group was equivalent to about 0.8 per cent of GNI in 2013.[7] These conditions provide for some fiscal space to bolster growth in many middle-income countries, if needed. However, there are certain risks to the sustainability of this debt, emanating from the relatively high share of short-term public debt, volatility in the appetite of investors for sovereign borrowing in emerging markets and the upcoming normalization of monetary policy by the United States Federal Reserve. The prospective rise of interest rates in the United States may increase the cost of debt refinancing for middle-income countries, which could be lifted further by currency depreciation pressures. The impact would be especially severe for the countries with large short-term debt refinancing needs.

Figure III
Selected debt indicators of middle-income countries (percentage)



Source: International Monetary Fund.

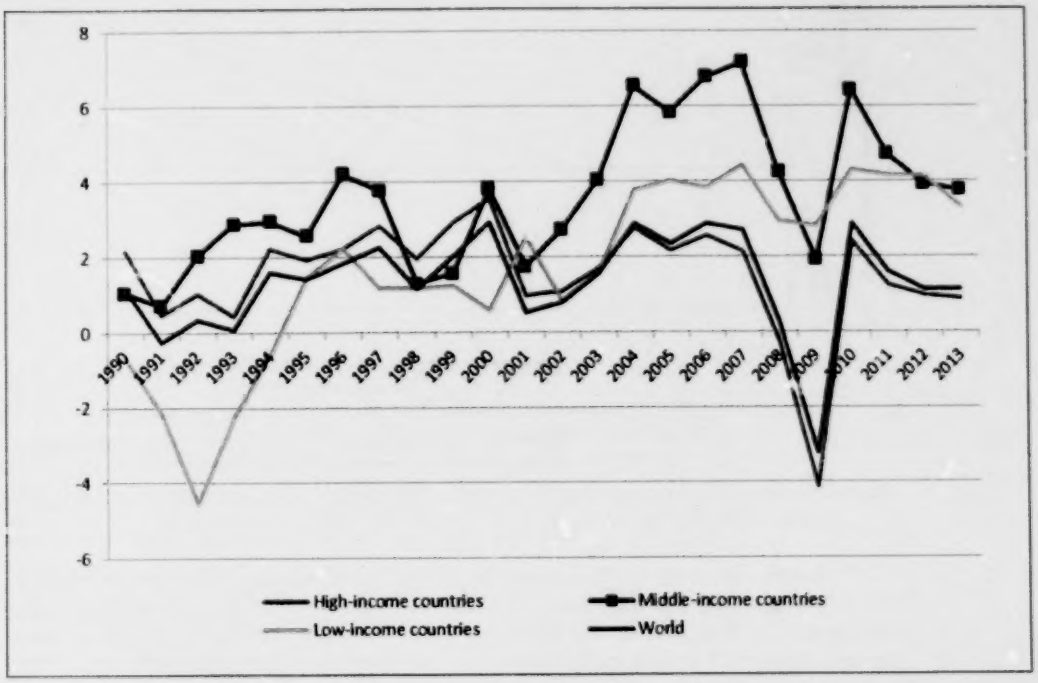
[6] Calculations by Department of Economic and Social Affairs staff, based on International Monetary Fund data.

[7] World Bank, http://data.worldbank.org/income-level/MIC.

B. Sustainable development challenges in the middle-income countries

10. Middle-income countries have made significant progress in achieving the Millennium Development Goals, particularly in reducing poverty. The poverty headcount ratio in middle-income countries — at $1.25 a day — decreased from 43.5 per cent in 1990 to 13.7 per cent in 2011, lifting over 900 million people out of poverty and underscoring the critical role of the middle-income countries in global poverty reduction efforts. A key driver in reducing poverty has been the faster-than-average economic growth in middle-income countries (see figure IV) relative to other income groups, with around two thirds of the poverty reduction in middle-income countries having occurred in China. However, despite impressive growth and progress with regard to the Millennium Development Goals, the middle-income countries continue to face significant sustainable development challenges.

Figure IV
Annual real GDP per capita growth, by income group, 1990-2013 (percentage)



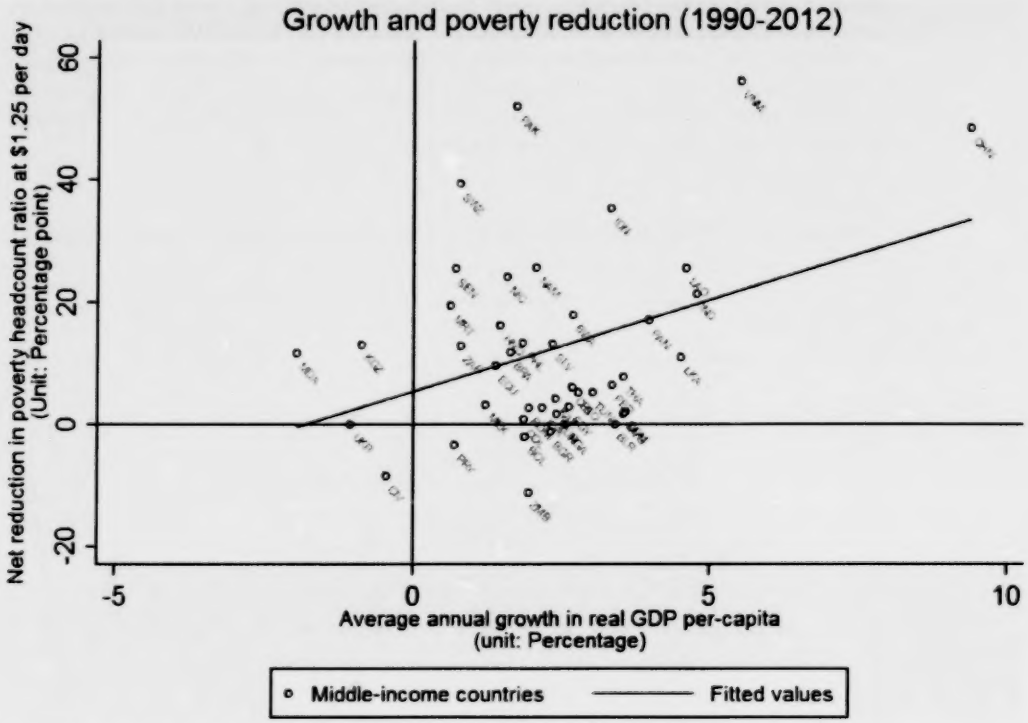
Source: Department of Economic and Social Affairs calculation, using data from the World Development Indicators of the World Bank.

1. Growth, poverty, inequality and environmental challenges in the middle-income countries

11. While the middle-income countries included many of the fastest-growing economies of the world, the per capita income in 21 middle-income countries grew by an average of 1 per cent or less during 1990-2013, with 7 among them — mostly in Eastern Europe and Central Asia — registering a decline in per capita income. Poverty reduction trends in middle-income countries exhibit similar divergences

(see figure V). Despite a general decline in poverty rates in middle-income countries, the poverty headcount ratio actually increased in a few middle-income countries — particularly some with high dependence on natural resource rents — between 1990 and 2012.

Figure V
Growth and poverty reduction in middle-income countries, 1990-2012



Source: Department of Economic and Social Affairs calculation, using data from the World Development Indicators of the World Bank.

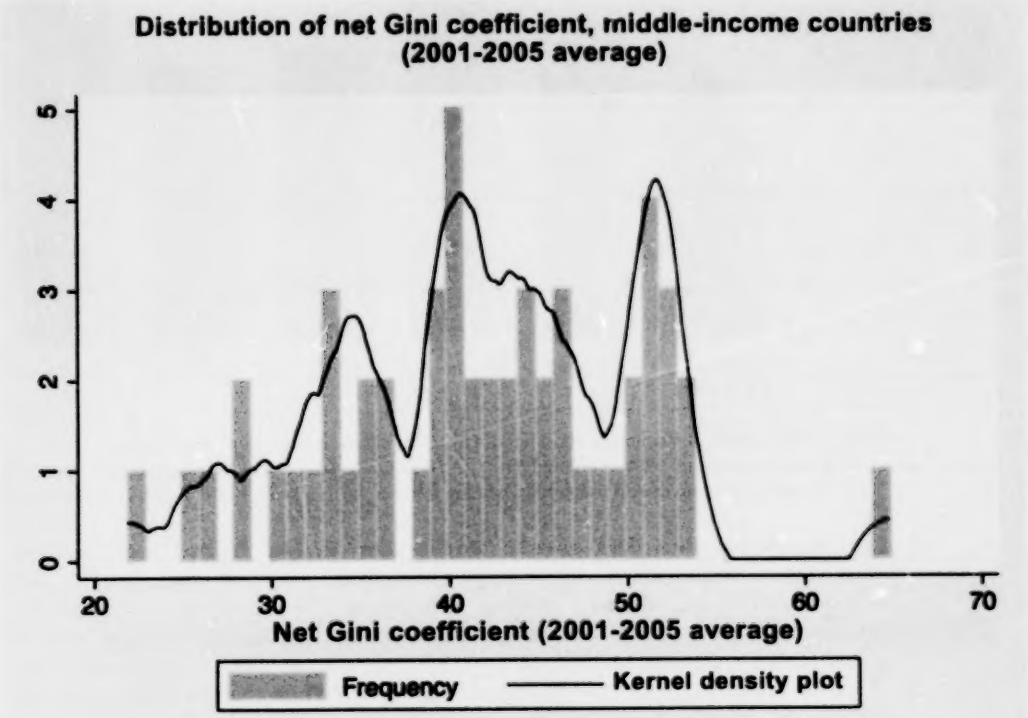
12. Income inequality remains generally higher in middle-income countries than in other income groups. During 2001-2005, the Gini index of 54 middle-income countries averaged 41.9, compared to the average Gini of 34.5 in a sample of 54 non-middle-income countries.[8] Among these middle-income countries, 33 experienced increases in income inequality during 1986-2005, 13 experienced decreases, and 8 maintained the same level. There are also considerable divergences in the income inequality levels among the middle-income countries (see figure VI). For example, in 2011, South Africa registered a Gini index of 65.0, while Belarus had a Gini index of 26.5.[9] The level of income inequality also varies significantly across regions, with Latin America and the Caribbean and sub-Saharan Africa showing persistently high levels of inequality (see figure VII). Another important dimension is the high level of

[8] Frederick Solt, 2009, "The Standardized World Income Inequality Database", http://hdl.handle.net/1902.1/11992, Harvard Dataverse, V14.

[9] World Development Indicators, the World Bank.

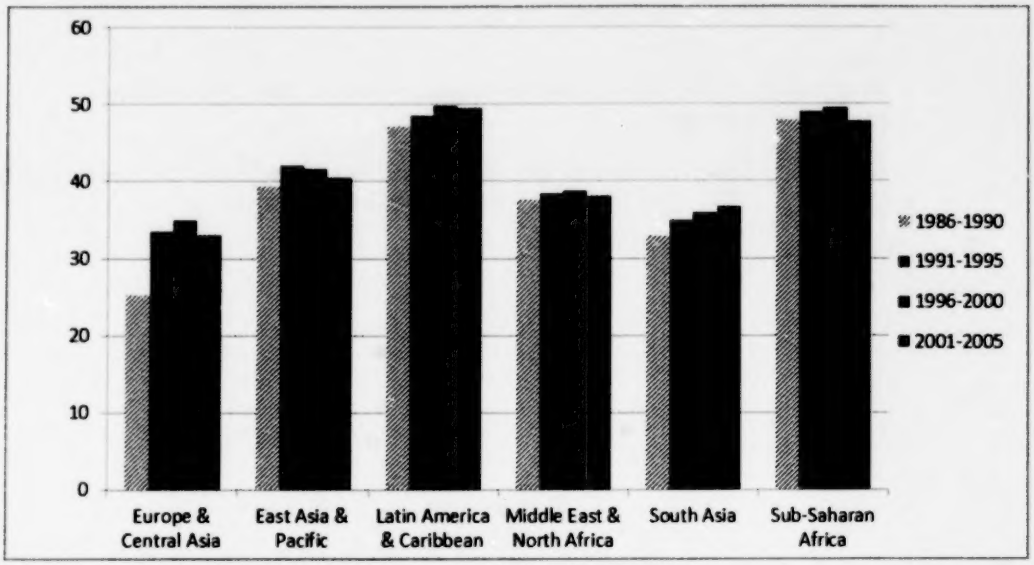
gender-based inequality. For example, while middle-income countries have made significant progress in terms of gender equality in education during the past two decades, young women in middle-income countries are far more likely than young men to be either unemployed or lacking in education or training.

Figure VI
Distribution of Gini index in middle-income countries, 2001-2005 average (number of countries)



Source: Department of Economic and Social Affairs calculation, based on Solt (2009).

Figure VII
Income inequality in middle-income countries, by region, 1986-2005 (net Gini coefficient)[a]

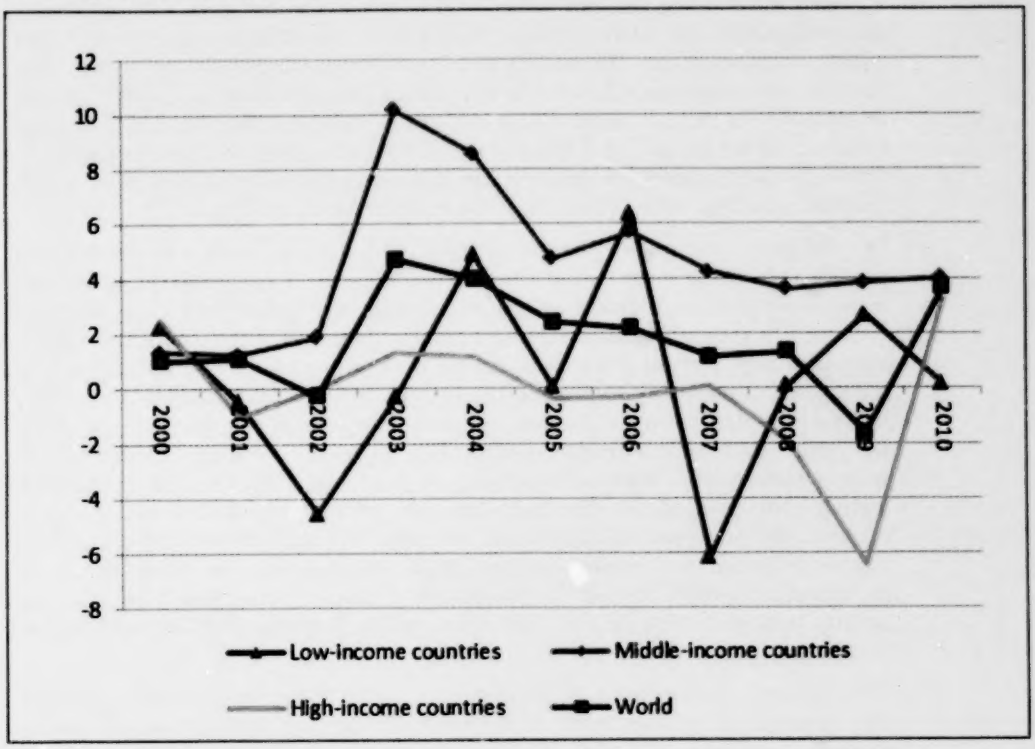


Source: Department of Economic and Social Affairs calculation, based on Solt (2009).

[a] The regional figures are unweighted averages of net Gini coefficients across sampled countries, that is Gini coefficients after taxes and transfers. Data are derived from a sample of 54 middle-income countries.

13. Meanwhile, high GDP growth rates in many middle-income countries have often been accompanied by rising greenhouse gas emission levels and environmental degradation, posing challenges to long-term sustainable development. As a group, middle-income countries contributed 49.2 per cent of global carbon emissions in 2010, up from 32.2 per cent in 1990. Of the world's top 15 carbon emitters, 7 are middle-income countries. While the per capita emission level in the middle-income country group is still significantly lower than in the high-income country group, it has been rising faster than in any other group since the 2000s (see figure VIII).

Figure VIII
Annual growth rate of per capita carbon dioxide emissions, 2000-2010 (percentage)



Source: Statistics Division calculation, using data from the Carbon Dioxide Information Analysis Center.

14. Undermanaged rural-urban migration, the influx of migrants and the rapid growth of informal settlements and slums in urban centres pose yet another sustainable development challenge to the middle-income countries. The urbanization rate in middle-income countries increased from 36.1 per cent to 50 per cent during 1990-2013, constraining the capacity of the cities to provide such amenities as access to water and sanitation facilities, and waste and sewage management. In 2012, about a quarter of the urban population of middle-income countries still did not have access to improved sanitation facilities. With 96 per cent of the future population growth in developing countries expected to happen in urban areas,[10] managing urbanization will remain a major sustainable development challenge for the middle-income countries. In this context, accurate, consistent and timely demographic data will be essential for policies on urbanization and migration.

2. Lessons for achieving inclusive growth and sustainable development

15. Recognizing the complex linkages between inequality, inclusive growth and environmental sustainability, the United Nations Open Working Group on the Sustainable Development Goals has proposed a set of interrelated sustainable

[10] World Bank (2013). Global Monitoring Report 2013: Rural-Urban Dynamics and the Millennium Development Goals, Washington, D.C.

development goals. In particular, the goals of promoting sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all (goal 8); building resilient infrastructure, promoting inclusive and sustainable industrialization and fostering innovation (goal 9); reducing inequality within and among countries (goal 10); making cities and human settlements inclusive, safe, resilient and sustainable (goal 11); and taking urgent action to combat climate change and its impacts (goal 13) are critically important for the middle-income countries, as the group is still home to over 70 per cent of the world's extreme poor, facing daunting sustainable development challenges that are exacerbated by a high level of inequality, rapid urbanization and environmental challenges.

16. While a few middle-income countries managed to reduce inequality and achieve inclusive growth during the past two decades, a large number of middle-income countries registered high growth without any reduction in inequality, or even with a rise in inequality. Middle-income countries that managed to reduce inequality also typically achieved a decline in their poverty rates, although poverty reduction and inequality have gone in opposite directions in a number of middle-income countries. Poverty reduction, like economic growth, may therefore also have a complex relationship with income inequality. An analysis of the policies of a small set of middle-income countries that managed to address inequality, while achieving high growth rates, shows that they generally pursued interrelated policies that: (a) promoted structural transformation, enhanced productivity and created a large number of relatively productive and higher-wage jobs; (b) enhanced social protection and redistribution mechanisms that directly contributed to reducing poverty and inequality; and (c) increased public spending that fostered human development and environmental sustainability.

17. Turkey's experience of inclusive growth in the 2000s, for example, highlights the importance of structural transformation policies that increased labour productivity and created a large number of decent jobs. Expansion of employment in industrial and service sectors, including in rural areas where industrial activities were historically absent, played an important role in fostering growth and reducing inequality. Most of the middle-income countries that experienced episodes of inclusive growth during 1986-2005 also achieved higher than average labour productivity growth. Among these countries, Chile,[11] Malaysia, Thailand and Turkey achieved productivity growth that was at least twice as high as the global average, showing that these countries made strong investments in human capital, which is key to achieving inclusive growth.

18. Social protection and human development policies, for example, played an important role in reducing inequality and fostering inclusive growth in Brazil. A large-scale "zero hunger" programme was introduced in Brazil in 2003, targeting over 170 million people who lived below the poverty line. The programme included a conditional cash transfer programme, which provides a monthly income transfer to poor families to reduce hunger but also to increase school attendance rates among poor children. Evidence shows that redistributive policies can play an important role in reducing inequality and promoting inclusive growth. After the Asian financial crisis in 1997, Malaysia and Thailand effectively used direct taxes (as opposed to indirect taxes, such as sales tax or value added tax) to support redistribution programmes.

[11] Chile was classified as a middle-income country prior to 2013.

19. The experience of China, on the other hand, shows that middle-income countries do have the space to design and implement policies aimed at striking a delicate balance between the imperatives of economic growth and environmental sustainability. In recent years, China has introduced binding targets on curbing emission levels and reducing the carbon and energy intensity of economic activities. In addition, market instruments are used to complement these regulatory measures. Besides other factors, such as changes in the output mix and technological progress, these efforts led to a drop of 28.6 per cent in carbon intensity — carbon emissions per unit of GDP — in China during 2005-2013.[12] Similarly, South Africa has set targets for achieving entirely free basic water and sanitation for extremely poor households in urban areas. With strong monitoring mechanisms, public resources were allocated to decentralized authorities, providing 3.47 million and 1.84 million poor South Africans with free access to water and sanitation services, respectively, in 2012.[13]

III. Cooperation of the United Nations system with middle-income countries

A. Major achievements in development cooperation with middle-income countries

20. The United Nations pursues development cooperation with the middle-income countries in a wide range of areas, as is illustrated by the breadth of the Millennium Development Goal agenda and the sustainable development goals currently under consideration. There is also a diverse set of instruments for development cooperation, including assistance with policy formulation and implementation, advocacy and capacity development.

21. To better assess the development cooperation of the United Nations with middle-income countries, the present report uses as a reference point data that were collected through a survey of programme country Governments.[14] The survey was conducted by the Department of Economic and Social Affairs from August to October 2014, and this report analyses the answers that middle-income countries provided specifically to a subset of questions of the wider survey. Of 107 middle-income countries, 53 (50 per cent) replied to the survey questions.

22. The survey data show that 55 per cent of the responding middle-income countries have been engaged in coordinating United Nations activities for five years or longer. The activities of the United Nations were seen as closely or very closely aligned with the individual country development needs and priorities by all except one responding middle-income country. All except three respondents agreed or somewhat agreed that the United Nations is focused on assisting the respective country in achieving the internationally agreed development goals, notably the Millennium Development Goals.

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[12] China: National Development and Reform Commission (2014). China's Policies and Actions on Climate Change.

[13] Gore, Fiona and others (2014). Investing in water and sanitation: increasing access, reducing inequalities. Special report for the Sanitation and Water for All high-level meeting. Geneva: World Health Organization.

[14] Quadrennial comprehensive policy review, monitoring survey of programme countries 2014, December 2014.

23. Gender equality, governance and public administration, health, environment and natural resources, and sustainable development policies were cited by the largest number of respondents as the areas in which the contribution of the United Nations had been especially significant. From a forward-looking perspective, the respondents from middle-income countries indicated that the most important areas for United Nations assistance in the next four years would be environment and natural resources, sustainable development policies, poverty reduction, governance and public administration, and health.

24. Of the responding middle-income countries, 65 per cent indicated that they provide development cooperation to other countries. In addition, 60 per cent stated that the United Nations system had undertaken activities to support their country in providing development cooperation. These support activities more especially covered gender equality, social protection and governance and public administration. At the same time, the areas in which the United Nations should provide support for the provision of development cooperation included industry, trade and investment, sustainable development policies, and peace building and early recovery.

25. Regarding the parallel work of different United Nations agencies, 62 per cent of the responding middle-income countries strongly agreed or somewhat agreed that there is a clear division of labour among the activities of United Nations agencies in the respective country. However, 32 per cent of the respondents strongly disagreed or somewhat disagreed with this statement. At the same time, a large majority of respondents, 89 per cent, stated that United Nations agencies compete with each other to varying degrees in the respective country for donor funding. As to whether competition among United Nations agencies is healthy and the respective Government welcomes it, 46 per cent of the respondents disagreed to varying degrees, while 40 per cent agreed to varying degrees.

26. The present report has also benefited from inputs by a number of United Nations agencies regarding their involvement in development cooperation with middle-income countries, as summarized below.

27. Much of the work of the United Nations country teams, led by the United Nations Development Programme (UNDP), in middle-income countries, particularly in the Europe and Central Asia region, focuses on the elimination of disparities, the promotion of equity and social inclusion, assistance in response to human rights violations, capacity development and advocacy. The focus of the new United Nations Development Assistance Framework process in middle-income countries in this region shifted from development assistance provision to partnership and cooperation; it is presented as a platform for better cooperation and true partnership with Governments, ensuring strengthened government ownership and greater government contributions (through cost-sharing) to development programmes in their countries. Thus, in the Europe and Central Asia region, the United Nations has focused on linking the global dialogue on sustainable development goals to regional and national efforts, concentrating especially on bringing the new development agenda to the middle-income country context. In sub-Saharan Africa, 12 out of the 31 national consultations on the post-2015 development agenda took place in middle-income countries, and the United Nations Development Group regional team for Africa has developed a strategy of support to middle-income countries in Africa. The facilitation of knowledge exchange regarding middle-income countries is a

significant area of engagement and an important part and modality of UNDP programming for South-South cooperation. UNDP has facilitated and will continue to facilitate exchanges of the extensive knowledge that middle-income countries are generating on poverty eradication and sustainable development, in particular through the establishment of global policy centres.

28. Another focus area of UNDP support to middle-income countries is capacity development and institutional strengthening for emerging economies as South-South cooperation providers. An important aspect of the Programme's work with middle-income countries has been the implementation of the new strategic partnership agenda since 2009, which is seeking to achieve a number of key objectives, such as intensifying South-South cooperation and partnerships with emerging economies to accelerate progress on development goals. A number of bilateral agreements have been signed in this context, including partnership agreements to strengthen cooperation on regional and global issues, such as South-South and triangular cooperation. These include Brazil, China, India, Indonesia, Mexico, South Africa and Turkey.

29. The United Nations Industrial Development Organization (UNIDO) has facilitated a number of activities in middle-income countries. To enhance the quality of public policies, UNIDO carried out, in partnership with the German Agency for International Cooperation, project "EQuIP — Enhancing the Quality of Industrial Policies", to support policymakers in middle-income countries in the formulation and design of evidence-based strategies for inclusive and sustainable industrial development. In March 2015, a high-level seminar was hosted by the Economic Commission for Latin America and the Caribbean under the title of "Improving the Quality of Industrial Policy (EQuIP)". In a follow-up to this event, Colombia is funding the first phase of an institutional capacity-building programme that uses EQuIP tools to develop industrial policy. UNIDO organized the first regional round table on inclusive and sustainable industrial development in March 2015 in Buenos Aires. In terms of environmental and sustainable development, UNIDO assists Mexico with compliance with commitments under the Montreal Protocol, which has allowed Mexico to become the first Latin American country to completely close the production of chlorofluorocarbons and methyl bromide, anticipating the deadline of 2015 stipulated in the Protocol.

30. UNIDO has also focused on assisting Governments in climate change mitigation efforts by providing technical and capacity-development assistance. It has supported the efforts of the Government of Lebanon to sustain economic resilience in rural areas affected by the impact of regional crises. Its technical assistance has concentrated on helping small and medium-sized enterprises to enhance their productive capacities, competitiveness and access to markets in a variety of industrial sectors through technology upgrading and transfer, management and market-oriented capacity development, and business mentoring. In Egypt, UNIDO is working on the development of industrial clusters in strategic sectors to promote the development of small and medium-sized enterprises and youth employment and on a new industrial policy vision for the country. UNIDO provides technical assistance to accelerate the uptake of energy efficiency in key industrial sectors in Egypt, Iran (Islamic Republic of) and the Philippines by setting up voluntary energy agreements with industrial sectors, providing a framework for national energy management standards, assisting in capacity-building through training, developing targets, providing benchmarks and identifying technology improvement options for high-

energy-intensive industrial sectors. UNIDO is also assisting the Government of Nigeria in implementing its Vision 20:2020 and the Transformational Agenda, the objective being to develop policies and measures to improve competitiveness and diversification in the non-oil-related sectors of the economy. With the aim of promoting industrial efficiency improvement in South Africa, UNIDO assisted the South African Department of Energy in developing industry tools and technical support measures and in designing the regulation on energy management planning. UNIDO also facilitated an international conference on industrial development in middle-income countries, held in Minsk on 23 and 24 April 2015.

31. For the United Nations Children's Fund (UNICEF), addressing child poverty and inequality continues to be the focus of engagement in middle-income countries, as most of the children living in poverty globally are found in those countries. This number continues to increase as more and more countries reach middle-income status. Persisting poverty, child and maternal mortality, undernutrition and stunting, together with issues related to urbanization, adolescent development and non-communicable diseases, are some of the challenges faced by middle-income countries. UNICEF supports the countries in addressing disparities and focuses on the most disadvantaged and vulnerable families and children. Its partnerships in these countries include programme delivery, upstream policy support, knowledge transfer and technical advice. UNICEF has also assisted countries in implementing more effective social inclusion policies through a range of initiatives, including social protection schemes and cash transfer programmes. For example, in Zambia, UNICEF helped the Government to plan the expansion of the social cash transfer programme.

32. Another main modality of UNICEF engagement has been knowledge brokering of best practices to achieve changes for excluded children. UNICEF has created tools to strengthen the identification of barriers and bottlenecks in reaching marginalized children and increase the frequency of reporting on achievements in overcoming such bottlenecks. One example in this regard is a multi-country initiative to measure public investment in early childhood in several Latin American countries. In China, UNICEF and the Ministry of Finance analysed public financing for migrant children, prompting an increase in central government resources for education among all children in cities, irrespective of residence status. UNICEF also supports middle-income countries' efforts to address global challenges faced by children, such as neglect, abuse and violence against children.

33. The International Labour Organization (ILO) is active in many middle-income countries, generally providing technical support and advisory services through decent work country programmes, which are its main programming frameworks for development assistance to ILO members. They are aligned with national development priorities and increasingly with the United Nations Development Assistance Frameworks. During the 2013-2015 period, the ILO provided development assistance to 92 middle-income countries. In many of these countries, in addition to the implementation of international labour standards, the ILO has placed a particular focus on inclusive growth through the development of national employment policies, jobs and skills development for youth, support for small and medium-sized enterprises, the expansion of social protection floors, the improvement of labour inspection and, increasingly, the formalization of the informal economy.

34. From 2013 to 2015 the Food and Agriculture Organization of the United Nations (FAO) assisted middle-income countries in preparing and approving 51 investment

operations for a total investment of over $4.3 billion, representing 42 per cent of all the investments mobilized over the given period in collaboration with the principal FAO financing partners. The main areas of FAO assistance included agricultural sector analysis and programming, and support to strategies and investment operations in the areas of irrigation, drainage and water management; environment and natural resources management; competitiveness and productivity; rural finance and micro-enterprises; fisheries; agricultural research and extension; forest ecosystems and communities; land management; and climate change adaptation. Support to middle-income countries related mainly to Millennium Development Goals 1 and 7, on poverty reduction and environmental sustainability. In addition, middle-income countries are increasingly engaging FAO to facilitate South-South cooperation. There is a growing demand from Southern countries to share knowledge, experience and technological solutions with other Southern countries that face similar socioeconomic and ecological challenges. Over the years, FAO has been involved in fielding more than 1,900 Southern experts to over 80 host countries. Since 2012, FAO has facilitated over 55 South-South partnership projects, of which 42 have been funded by middle-income countries, totalling $83 million, with the support of Angola, Brazil, China, Mexico, South Africa, Turkey and Venezuela (Bolivarian Republic of).

35. Food insecurity and malnutrition are a serious threat to sustained, inclusive growth in middle-income countries, where the majority of the world's hungry and malnourished currently live. In line with its mandate, the World Food Programme (WFP) has supported 45 middle-income countries by helping them to enhance their national response to food insecurity emergencies, residual and unequally distributed food insecurity, urban hunger and the double burden of malnutrition. WFP operations at the country level focused on strengthening national capacity in the areas of social protection and safety nets, emergency preparedness and response and vulnerability analysis and mapping. WFP provided strategic and technical advice to enhance the targeting, implementation and nutrition sensitivity of safety nets. Its operations have also contributed to improving institutional capacities to prepare and respond to disasters, analyse food insecurity and mainstream evidence-based programming. Furthermore, WFP has increased its efforts to facilitate South-South and triangular knowledge sharing and learning between middle-income countries, mainly through its Centre of Excellence against Hunger in Brasilia. Its general approach has focused on aligning operations with national development plans and assisting middle-income countries in identifying the gaps that hinder progress towards zero hunger and the priority opportunities to respond to these gaps.

36. The United Nations Population Fund (UNFPA) follows a differentiated programming approach, which recognizes the diverse needs of countries in achieving the objectives set at the International Conference on Population and Development and their differing abilities to finance development. The recent operational review of the Conference noted that middle-income countries continue to face inequalities and "development traps", which disproportionately disadvantage the most vulnerable groups, especially poor women and adolescents.[15] Based on extensive analytical work and pilot initiatives, the UNFPA pioneering business model, launched in 2014, strengthens support for Governments in their addressing of priorities, with the emphasis on advocacy and policy dialogue/advice and knowledge management. The UNFPA strategic shift towards upstream engagement

[15] See also A/69/62.

in middle-income countries has entailed greater emphasis on policy analysis, diplomacy and partnerships to invigorate the human rights-based Conference agenda and to ensure sustainability of this agenda through greater national ownership.

37. UNFPA has successfully supported many middle-income countries in adopting evidence-based population and youth policies and strategies; strengthening policy and regulatory frameworks related to universal access to high-quality sexual and reproductive health care and fulfilment of reproductive rights; and a better balancing of policy development and delivery in the empowerment of women and adolescent girls in particular. For example, in Eastern Europe and Central Asia, UNFPA supported the efforts of Kazakhstan to align national legislation and implementation mechanisms with international human rights instruments and policy frameworks, such as the European policy framework for health and well-being. In Latin America and the Caribbean region, UNFPA has contributed to progress in policies and legislation relating to sexual and reproductive health and reproductive rights in a number of countries, such as Bolivia (Plurinational State of), Honduras and Mexico.

38. The United Nations Environment Programme (UNEP) provided support to middle-income countries in accordance with its universal mandate under its 2014-2017 medium-term strategy. It continued to play an important role in assisting middle-income countries to achieve sustainable growth, helping to place environmental considerations at the centre of sustainable development efforts. In the area of climate change, UNEP assists Governments, businesses and individuals to reduce emissions in an effort to minimize the pace and scale of climate change. It has also provided cooperative technical assistance to middle-income countries facing disasters and conflicts. For example, in 2014 UNEP outlined a $56.2 million environmental recovery and reconstruction plan for the Balkan floods, which killed dozens and displaced over 100,000 in Serbia, Croatia and Bosnia and Herzegovina. In the area of ecosystem management, UNEP is cooperating with middle-income countries to achieve biodiversity conservation together with sustainable development. In regard to environmental governance, UNEP conducted a wide range of projects. For example, it has been providing technical assistance designed to ensure that efforts to support the estimated 1.3 million Syrian refugees in Jordan do not harm the environment. Regarding resource efficiency, UNEP conducted scoping missions and has engaged in country dialogues to help design country programmes based on country needs and priorities.

39. By 2020, it is estimated that the vast majority of people affected by HIV will live in middle-income countries.[16] All middle-income countries are covered by the Joint United Nations Programme on HIV/AIDS (UNAIDS) through country and/or regional offices. As the only co-sponsored joint programme of the United Nations, UNAIDS unites the efforts of 11 United Nations organizations and a secretariat. In 2013-2014, UNAIDS focused its efforts on accelerating progress towards the 2015 targets in the 2011 Political Declaration on HIV/AIDS: Intensifying Our Efforts to Eliminate HIV/AIDS, in support of the achievement of Millennium Development Goals 3 to 6 and 8, and on galvanizing global action towards the vision of zero new HIV infections, zero discrimination and zero AIDS-related deaths. In 2013-2014,

[16] Increasing access to HIV treatment in middle-income countries. Key data on prices, regulatory status, tariffs and the intellectual property situation, WHO, 2014, at www.who.int/phi/publications/WHO_Increasing_access_to_HIV_treatment.pdf.

UNAIDS led the compilation of the most extensive data collection available on the HIV epidemic and launched a new initiative to catalyse action by cities to mobilize municipal resources towards the goal of ending the AIDS epidemic in cities. Out of 78 cities that signed the declaration of commitment for action on accelerated city-based responses to HIV, 62 were in middle-income countries. A central initiative of UNAIDS in 2013-2014 was the continuing public-private partnership to eliminate new HIV infections among children and keep their mothers alive (Global Plan). Launched at the 2011 High-level Meeting on AIDS, it prioritizes 22 countries with the highest number of pregnant women living with HIV in need of services, including 9 middle-income countries.[17]

40. UNAIDS continued to advance advocacy for a shift from traditional cooperation to cooperation entailing shared responsibility and global solidarity, including increases in domestic spending. It continues promotion of the strategic investment approach, supporting all countries, including lower- and middle-income countries, in a focus on priority areas, populations and interventions where cost-effective impact and value for money is best achieved and can have multiplier effects across broader health and development issues. Faced with the reality that countries reaching middle-income status may not be able to access the external funding channels previously available to them for their HIV programmes, UNAIDS and other key stakeholders have developed guiding principles for the development of compacts between Governments and donors.

41. In order to help to achieve the Millennium Development Goals and the new sustainable development goals, the World Tourism Organization (UNWTO), as part of its Sustainable Tourism-Eliminating Poverty initiative, has organized seminars to raise awareness and develop capacity with respect to tourism and local economic development and has executed projects designed to create favourable conditions for disadvantaged groups of society to benefit from tourism. UNWTO has built up a portfolio of over 100 such projects, benefiting more than 40 countries, including 23 middle-income countries. Another fundamental pillar of the work of UNWTO is the provision of technical assistance to develop the tourism industry as an engine for socioeconomic growth and poverty alleviation. In middle-income countries, the emphasis is on improving the competitiveness and quality of the tourism sector and related services. Technical assistance to middle-income countries has been provided in areas such as the establishment of coherent frameworks for long-term sustainable tourism development, diversification and tourism development zoning.

B. Engagement of international financial institutions in middle-income countries

42. With a focus on the twin goals of reducing extreme poverty and bolstering shared prosperity, the World Bank Group supports the efforts of middle-income countries to promote growth with inclusion, create jobs, invest in people, improve the private investment climate, strengthen infrastructure, manage urbanization, boost agricultural productivity and address the threat of climate change.

[17] Angola, Cameroon, Côte d'Ivoire, Ghana, Lesotho, Nigeria, South Africa, Swaziland and Zambia.

43. The new World Bank Group strategy and reform process is helping to better support middle-income countries in finding development solutions to these challenges. A key element of the strategy is the systematic country diagnostic, which identifies key challenges and opportunities for each individual country to support the prosperity of the bottom 40 percent of the population as well as to address risks that may threaten macroeconomic, environmental and sociopolitical stability. The systematic country diagnostic informs the new country partnership framework so that the World Bank Group can better tailor policies and programmes to middle-income countries' needs and priorities, providing the basis for the Group to establish a higher-impact, transformational engagement. With the World Bank, the International Finance Corporation (IFC) and the Multilateral Investment Guarantee Agency operating as one entity, synergies across the institution are leveraged to engage both the private sector and Governments to promote job creation and inclusive and sustainable growth.

44. The World Bank has also adapted its business model to be more responsive, flexible and innovative by, for example, streamlining investment lending processes and exploring how best to increase the use of countries' financial management, procurement and social and environmental systems. It has revised its policy on guarantees to encourage additional private sector investment in middle-income countries and has developed the Programme for Results, a new instrument to help middle-income countries to improve the design and implementation of their own development programmes and achieve lasting results.

45. At the same time, the World Bank Group has undertaken major changes to improve its ability to marshal the best expertise from around the world in order to create, capture and share knowledge, including South-South learning. The new global practices and cross-cutting solution areas will help to enhance the deployment of knowledge and global best practice for the support of policy design and implementation. They will bring new opportunities to sharpen technical expertise, share global knowledge and strengthen partnerships.

46. To better support the efforts of middle-income countries to tackle their development challenges, a number of important changes were approved in 2014 that enable the International Bank for Reconstruction and Development (IBRD) to increase its financial capacity for lending and other forms of financial support, such as guarantees. These measures, along with actions to nurture the revenue growth of IFC and the Multilateral Investment Guarantee Agency, will help to respond to future increases in demand for financial services from middle-income countries. Innovative exposure exchanges to manage exposure concentration complement these efforts by allowing both the Multilateral Investment Guarantee Agency and IBRD to improve the diversification of their portfolios. In addition to financing, the broader menu of financial products and services of the World Bank Group will help to strengthen the debt, asset and risk management capacity of middle-income countries.

47. Partnerships are another important pillar of the World Bank Group strategy, as they can leverage funding from the private sector and mobilize bilateral and multilateral funding for key global public goods. A central part of the IFC strategy is to mobilize capital from third parties to meet clients' needs and increase impact, including through new approaches such as the Asset Management Company and the Managed Co-Lending Portfolio Programme. The Multilateral Investment Guarantee

Agency is growing its guarantee portfolio in support of private sector investment in infrastructure, including through the expansion of its financial products.

48. From 2013 to 2015, the International Monetary Fund (IMF) continued to adapt to the increased importance of middle-income countries and to address their particular challenges. IMF continued to support these countries, in particular through its surveillance of macroeconomic and financial developments and policies (monitoring, risk analysis, consultations and policy advice) and by making its resources temporarily available through various lending facilities based on actual or potential balance of payments needs.

49. IMF has taken steps to strengthen surveillance in a way that supports strong and sustainable growth in a deeply interconnected world. It set up an internal working group on jobs and growth in 2013, which has recommended steps to enhance its effectiveness in helping member countries achieve their goals on growth, job creation and income distribution. The latest triennial surveillance review, completed in September 2014, identified five operational priorities: to integrate and deepen risk and spillover analysis; to mainstream macrofinancial surveillance; to pay more attention to structural policies, including labour market issues; to deliver cohesive and expert policy advice; and to adopt a client-focused approach to surveillance, supported by clear and candid communication. The Managing Director's action plan for strengthening surveillance outlined concrete measures to move forward work in these priority areas, which are also discussed in the updated guidance note for surveillance under article IV consultations of March 2015. A review of the financial sector assessment programme was completed in September 2014.

50. Regarding its lending activities, IMF has continued to review and refine the instruments created after the global financial crisis. The review of the Flexible Credit Line, the Precautionary and Liquidity Line and the Rapid Financing Instrument was completed in June 2014. It highlighted the successful role these instruments have played in helping to insure member countries against external shocks and boost market confidence during periods of heightened risks and, at the same time, sought to enhance the effectiveness and transparency of these instruments. IMF has continued to help Governments protect and even increase social spending, including social assistance, under IMF-supported programmes.

IV. Conclusions and recommendations

51. **Although middle-income countries achieved robust economic expansion during the past decade, outpacing global GDP growth and economic growth in high-income economies (a pattern that continued in 2013-2014), and made notable progress towards meeting the Millennium Development Goal targets, they still face significant development challenges. Despite notable progress in reducing poverty levels in both absolute and relative terms, poverty remains a problem in many middle-income countries. Not all Millennium Development Goal targets have been fully met, and the transition to the post-2015 development agenda and the new targets set by the proposed framework of sustainable development goals presents serious challenges, especially for the countries at the lower end of the middle-income spectrum.**

52. **Those challenges are often country-specific and depend on level of income, structure of the economy, human development indicators, external indebtedness, conditions of access to external finance and some other factors. They may vary from high levels of poverty and low educational attainment to a narrow industrial and export base, rapid ageing or increased urbanization combined with problems of environmental degradation. This broad range of challenges underlines the need for concerted and coherent policy efforts. Often, however, as countries move from a low-income to a middle-income level, the assistance provided to them through the official development assistance framework is significantly reduced, limiting their ability to address those challenges. This highlights the need for the continuing engagement of the international community in middle-income countries, which should be tailored to specific country needs, and the further development cooperation of the United Nations system.**

53. **Given the large share of middle-income countries in terms of the world population and the global economy, achieving the sustainable development goals in their three dimensions will be impossible unless the economic and social problems of those countries are addressed, and their active engagement is enlisted at both the national and the international level. Through its universal mandate, the United Nations system is uniquely placed to provide direct assistance and to act as a mediator in the intercountry cooperation process. As the world moves towards the adoption and implementation of the ambitious post-2015 agenda, middle-income countries should remain a major focus of the United Nations system.**

54. **Many middle-income countries are considered to be caught in the middle-income trap,[18] and accelerating economic growth is one of the challenges facing those countries. However, doing so through traditional industries may lead to irreversible environmental consequences at the global level. Consequently, investing with appropriate emphasis on environmental sustainability should be one of the dimensions of international cooperation, in parallel with reducing carbon dioxide emissions.**

55. **Over the past decade, the nature of development assistance has changed significantly. From delivering direct development assistance, the focus of United Nations system activity has shifted in many cases to providing policy advice and transfer of knowledge. However, according to the survey results highlighted in the present report, there are some instances where a clear division of duties among agencies is lacking, and in some cases different parts of the United Nations system are competing for available funds. Those issues have to be addressed in order to achieve the "delivering as one" approach in the field.**

56. **In January 2012, the executive boards of various United Nations agencies organized a joint meeting, in which representatives of Member States and academia participated, to discuss the role of the United Nations system in middle-income countries in achieving internationally agreed development**

[18] See also the previous report (A/68/265). The notion of the middle-income trap refers to a situation where a middle-income country, after reaching a certain level of per capita income, cannot move much beyond that income level as its per capita economic growth remains mediocre.

goals. The organization on a regular basis of such debates, in which participants would take stock of achievements during the review period and look ahead to future assistance, might facilitate the development of a common strategic framework for dealing with middle-income countries.

57. A more nuanced country classification, going beyond the per capita income criteria and incorporating a range of indicators, such as a human development index, the progress made in meeting the Millennium Development Goals or the successor targets, levels of inequality in terms of both income and non-monetary benefits (including access to social services) and the degree of diversification and skill intensity of the economy, would provide additional guidance for elaborating and implementing country assistance programmes.

58. It should be recognized, however, that many individual agencies of the United Nations system, while planning and carrying out their country activities, consider a wide set of indicators and may employ their own special indices closely linked to the specificities of their mandate. Consequently, an excessive centralization or synchronization of decision-making in terms of choosing the nature of development assistance might become counterproductive. A right balance should therefore be found between the attempt to create a coherent policy background for use by the different parts of the United Nations system in providing assistance to middle-income countries and the need to preserve sufficient policy space for individual agencies, which have built up decades of expertise in their respective fields.

59. As reiterated in previous reports on development cooperation with middle-income countries, it is important for all prospective actors to ensure that such cooperation does not adversely affect the assistance provided to low-income countries, especially the least developed countries, by crowding out financial resources or technical advice. On the contrary, development cooperation should create a positive spillover effect through international trade, investment and access to new technologies. South-South and triangular cooperation frameworks can constitute a productive platform for such spillover effects.

60. In the past, some Member States have expressed an interest in establishing a high-level panel that would track the progress made in delivering United Nations system assistance to middle-income countries and elaborate a more nuanced international agenda for addressing the challenges. Establishment of such a panel or an ad hoc working group, as recommended in previous reports,[19] remains to be discussed.

[19] A/66/220 and A/68/265.

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Sustainable development: United Nations Decade of Education for Sustainable Development

Review of the implementation of the United Nations Decade of Education for Sustainable Development, 2005-2014

Note by the Secretary-General

The Secretary-General hereby transmits the report prepared by the Director-General of the United Nations Educational, Scientific and Cultural Organization in accordance with General Assembly resolutions 65/163 and 69/211.

* A/70/150.

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Review of the implementation of the United Nations Decade of Education for Sustainable Development, 2005-2014

Report of the Director-General of the United Nations Educational, Scientific and Cultural Organization

Summary

The United Nations Decade of Education for Sustainable Development (2005-2014) was proclaimed by the General Assembly at its fifty-seventh session, in 2002. The Decade ended on 31 December 2014.

In accordance with General Assembly resolutions 65/163 and 69/211, the present document provides a review of the implementation of the Decade and an account of the World Conference on Education for Sustainable Development organized in 2014 in Japan. The document is based on consultations with a wide range of stakeholders, including Governments, civil society organizations and United Nations agencies.

I. Introduction

A. Background

1. By its resolution 57/254 of 20 December 2002, the General Assembly proclaimed the 10-year period beginning on 1 January 2005 the United Nations Decade of Education for Sustainable Development and designated the United Nations Educational, Scientific and Cultural Organization (UNESCO) as the lead agency for the promotion of the Decade. The goal of the Decade was "to integrate the principles, values, and practices of sustainable development into all aspects of education and learning" in order to "create a more sustainable future in terms of environmental integrity, economic viability, and a just society for present and future generations".[1]

2. The proclamation of the Decade was recommended by the World Summit on Sustainable Development in 2002, which took stock of progress in sustainable development 10 years after the United Nations Conference on Environment and Development.[2] The Decade was the result of the recognition by the global community that education is crucial to achieving sustainable development. Sustainable development is not achieved through political decisions, technological advances or fiscal instruments alone; sustainable development requires a major shift in mindsets and actions that only education at all levels and in all forms is able to bring about. Chapter 36 of Agenda 21 adopted at the United Nations Conference on Environment and Development[3] already acknowledged the importance of education to the pursuit of sustainable development.

3. Responsibility for implementing the Decade lay with a wide range of stakeholders at global, regional, national and subnational levels, including Governments, intergovernmental organizations, civil society organizations, the private sector, educational institutions, educators and individuals. In its resolution 58/219, the General Assembly invited Governments to promote public awareness of and wider participation in the Decade, including through cooperation and initiatives engaging civil society and other relevant stakeholders.

B. Outline of this report

4. The present report is prepared in accordance with General Assembly resolution 65/163, in which the Assembly requested UNESCO to present a review of the implementation of the Decade to it at its seventieth session. The document presents key findings of the final report on the Decade, *Shaping the Future We Want*,

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[1] UNESCO, *United Nations Decade of Education for Sustainable Development (2005-2014): International Implementation Scheme* (Paris, 2005), sect. II.A. Available from http://unesdoc.unesco.org/images/0014/001486/148654e.pdf.

[2] See *Report of the World Summit on Sustainable Development, Johannesburg, South Africa, 26 August-4 September 2002* (United Nations publication, Sales No. E.03.II.A.1 and corrigendum), chap. I, resolution 2, annex, para. 124.

[3] *Report of the United Nations Conference on Environment and Development, Rio de Janeiro, 3-14 June 1992, vol. I, Resolutions Adopted by the Conference* (United Nations publication, Sales No. E.93.I.8 and corrigendum), resolution 1, annex II.

prepared by UNESCO after undertaking an extensive review of the Decade.[4] The document also provides information on the United Nations contribution to the Decade and addresses ways forward for education for sustainable development after the end of the Decade. In accordance with General Assembly resolution 69/211, information on the World Conference on Education for Sustainable Development, held in in Aichi-Nagoya, Japan, from 10 to 12 November 2014, is included in the report.

5. UNESCO conducted the review of the Decade, on which the main findings and conclusions of the present document are based, through extensive data collection and consultations with a wide range of stakeholders. The Decade review process had the following components:

(a) Regional multi-stakeholder consultations organized by UNESCO in Africa, the Arab States, Asia and the Pacific, Europe and North America and Latin America and the Caribbean;

(b) Responses to questionnaire sent to Governments, United Nations agencies and a broad range of other stakeholders that provided information for the final assessment of the Decade as well as suggestions on the way forward for education for sustainable development after the end of the Decade. A total of 1,159 responses were received;

(c) Peer-reviewed research that UNESCO commissioned for various aspects of the assessment of the Decade, including the contribution of UNESCO and other United Nations agencies to the Decade. In various cases, this research included semi-structured interviews with key experts and stakeholders such as members of the United Nations Inter-Agency Committee for the United Nations Decade of Education for Sustainable Development.

II. Key findings from the review of the Decade

A. Trends

6. The review of the Decade conducted by UNESCO concludes that a solid foundation has been laid for education for sustainable development at the end of the Decade, achieved by raising awareness, influencing policies and generating significant numbers of good practice projects in all areas of education and learning. Accomplishments over the Decade can be seen in a variety of forms, most notably, the increased visibility of education for sustainable development in national policies and international agreements. In many countries, Governments are integrating education for sustainable development into education to prepare their citizens to address the sustainability challenges that lie ahead. Meanwhile, individuals, schools, institutions of higher education, community-based organizations, non-governmental organizations and the private sector have all joined in the challenge to advance learning towards a broader and deeper understanding and practice of sustainability.

[4] UNESCO, *Shaping the Future We Want: UN Decade of Education for Sustainable Development (2005-2014): Final Report* (Paris, 2014), and *Shaping the Future We Want: UN Decade of Education for Sustainable Development (2005-2014): Final Report: Summary* (Paris, 2014). Available from http://unesdoc.unesco.org/images/0023/002301/230171e.pdf and http://unesdoc.unesco.org/images/0023/002303/230302e.pdf, respectively.

A growing number of higher education institutions are directing their teaching and research towards sustainability solutions. Businesses now recognize the value of having a knowledgeable and skilled workforce that can contribute to developing greener economies. Investments are being made in both policy and practice to strengthen the capacities of people of all ages and from all walks of life. The review of the Decade identifies in particular the following trends after 10 years of action in education for sustainable development.

Education systems are addressing sustainability issues

7. Across many countries, a strong trend can now be seen to make education more relevant to current and future social, environmental and economic challenges. Education for sustainable development provides a renewed vision and purpose for education policy and practice. Evidence at the end of the Decade suggests that the process of reorienting education policies, curricula and plans towards sustainable development in most reporting Member States is well under way, although progress remains uneven.

8. There has been a clear increase in the understanding that education for sustainable development is a lifelong learning process that begins in early childhood and advances throughout primary and secondary education, technical and vocational education and training, higher education, workplace training and professional development, and includes public awareness efforts. Quality education is now increasingly understood to go beyond the provision of basic skills such as literacy and numeracy to include the knowledge, skills, values and attitudes that underpin sustainability. There is broad consensus that quality education today must prepare people to address the specific challenges the world is facing and help them to transform societies so they become more sustainable. A fuller view of quality education now encompasses the purpose of education, as well as the methods and content of education.

Sustainable development agendas and education agendas are converging

9. Stakeholders from sustainable development sectors are increasingly adapting education, training and public awareness efforts to advance sustainable development. Education is figuring prominently in international debates on sustainable development, and greater attention is now being paid to education as an essential mechanism to support the implementation of major environmental conventions and agreements. Accordingly, the importance of education for sustainable development was emphasized in the outcome document of the United Nations Conference on Sustainable Development in 2012.[5]

10. At the national level, several countries have incorporated education strategies, tools and targets into national sustainable development strategies, climate change plans and related frameworks. Activities in many countries to build greener economies are being aligned with relevant skills development and training. Many stakeholders emphasize the need to strengthen coordination between government agencies responsible for sustainable development policy and planning and those responsible for education to advance towards national sustainable development objectives.

[5] "The future we want", General Assembly resolution 66/288, annex.

Political leadership has proven instrumental

11. Political leadership backed up by resources has helped to create the organizational environment necessary for the advancement of education for sustainable development, including better national and subnational coordination of implementation. Important progress has been made in putting national strategies or plans in place, contributing to the integration of education for sustainable development into national education and sustainable development policies.

12. Countries have adopted a variety of approaches to reorienting education systems, from creating a strong basis for education for sustainable development by embedding it in national legislation, policies and standards, through to more decentralized approaches based on pilot projects involving multiple stakeholders. Depending on their specific administrative structure and their needs, countries have opted for top-down, bottom-up or blended approaches. Many stakeholders have found that capacity development for policymakers is essential for advancing change. Strengthening the capacity of administrators, teachers and trainers is equally regarded as important.

Multi-stakeholder partnerships are particularly effective

13. The Decade has helped to reinforce partnerships and collaboration among stakeholders. Knowledge exchange and collaboration at the international level supported the inclusion of education for sustainable development in the proposed post-2015 agenda. Mechanisms such as national coordinating bodies helped to shape policy at the country level and support implementation as well as research. Interactions among the growing networks of universities supporting education for sustainable development in Africa, Latin America and elsewhere have led to international commitments by higher education institutions and peer support for implementation. Networking of schools has connected students across the globe to jointly learn about sustainable development challenges and the solutions sought in the students' respective communities. Partnerships involving civil society organizations and the private sector have also been crucial in building capacity in many countries.

14. Partnerships and networks have existed for many years as mechanisms to advance work in climate change, biodiversity, water, poverty eradication, sustainable consumption and production and other major challenges facing the world today. There is a growing capacity now in the education sector to work in alignment and collaboration with these long-standing sustainable development partnerships and networks.

Local commitments are growing

15. The implementation of education for sustainable development now includes unique features that relate to the local context. For example, in formal education, community engagement helps young children and students to learn about local issues. Public awareness-raising efforts have reinforced work at local levels to increase citizens' knowledge and participation in local solutions. Similarly, the private sector's need for an educated, skilled workforce to support green and sustainable enterprises at the local level has influenced technical and vocational education and training as well as capacity-building.

16. Lessons from the Decade suggest that increased engagement with organizations that focus specifically on local-level sustainable development planning and action — such as local non-governmental organizations, networks of cities and municipalities, and rural development networks — can provide additional leverage for education for sustainable development at the local level.

Whole-institution approaches have become more widespread

17. Whole-institution approaches entail mainstreaming sustainability into all aspects of the learning environment. These approaches include embedding sustainability in curriculum and learning processes, facilities and operations, interaction with the surrounding community, governance and capacity-building. Such approaches have significantly increased during the Decade and are helping learners to contribute to sustainable development in their schools or institutions, communities and workplaces. In a move towards long-term efforts to address the social, economic and environmental footprint in their communities, schools are engaging students in the process of reducing and managing that footprint.

18. Institutions of higher education have also made significant commitments to whole-institution changes, from sustainability in operations and management to changes in teaching, curriculum and research, as well as strengthening sustainable development in their surrounding communities.

Education for sustainable development facilitates interactive, learner-driven pedagogies

19. Education for sustainable development is advancing teaching and learning approaches that help learners to ask questions, analyse, think critically and make decisions in collaboration with others. Participatory learning processes, critical thinking and problem-based learning are proving particularly conducive to education for sustainable development. Although more evidence is needed, research is beginning to suggest that students who learn through these methods, together with acquiring the content relevant for sustainability, develop greater awareness of and responsibility for the world around them. Educators at all levels are central to this process.

Education for sustainable development is being integrated into formal education

20. There is a growing recognition among policymakers that early childhood care and education is the foundation of sustainable development. There is also an increased understanding among education practitioners that children can be agents of change within their families and communities. In primary and secondary education, evidence of increasing policy attention to, and integration of, education for sustainable development is especially strong. Governments report advances in education for sustainable development at the primary and secondary levels to be among their greatest achievements during the Decade. Reviews of curriculum documents have found that many countries now include sustainability and/or environmental themes as one of the general goals of education. At the same time, efforts to prepare teachers to deliver education for sustainable development have not advanced to the same extent. More work is still needed to reorient teacher education to address education for sustainable development content and learning methods.

21. The Decade has also seen higher education stepping up its efforts towards sustainable development. There are many instances of new specialist courses in sustainability, institution-wide reorientations of the curriculum, innovations in teaching and learning processes and growth of sustainability-related research. However, many of the advances have been achieved through pilot projects or committed individuals. The systemic transformation of higher education towards sustainable development has yet to occur.

Non-formal and informal education for sustainable development is increasing

22. In the daily lives of communities, families and individuals, awareness of environmental and sustainable development issues is reported to have increased in many countries. Much of this appears to be due to a growth in non-formal and informal approaches to education for sustainable development. Social media, though still underused by stakeholders, are considered to have great potential for the advancement of sustainability-related awareness and actions.

23. Major gains have been made through education and training to strengthen the private-sector response to sustainable development. Large businesses and multinational companies now have an increased awareness of sustainability, acquired through peer learning at conferences, workshops or business association events and through executive education programmes. In many cases, education, training and awareness-raising efforts are leading to the adoption of sustainability as a business strategy.

Technical and vocational education and training advances sustainable development

24. Policy and planning in both sustainable development and technical and vocational education and training are now aligning in the green economy and green skills agendas, leading to new research and capacity-building efforts. As a result of international attention and increased consumer demand for greener products and services, national technical and vocational education and training systems are beginning to recognize the need to support greener economic development. Private-sector demands for skilled workers in greening traditional industries and new green business are also influencing the reorientation of education and training systems.

B. Challenges

25. Despite the successes achieved during the Decade, Member States Governments and other stakeholders indicate that considerable challenges remain in realizing the full potential of education for sustainable development. These include the following in particular.

26. *Further alignment of education and sustainable development sectors*. While there has been progress regarding the alignment of education and sustainable development agendas, the linkages are still weak in many countries. Insufficient integration of education for sustainable development into national development policies and plans, together with weak inter-ministerial coordination, were considered by many Member States to be ongoing barriers to education for sustainable development implementation. Inter-ministerial cooperation and coordination will need to be increased significantly to ensure that education

supports sustainable development objectives, and that policymakers provide the necessary support for education.

27. *More effort towards institutionalizing education for sustainable development.* The majority of Member States have reported that education for sustainable development is making solid progress, but few have reported full implementation of across education systems. The move from creating an enabling environment to actual changes in curriculum and education practice has been slow in most areas of education. Systemic change will require institutionalization of education for sustainable development, including the provision of financial resources, that will make implementation less dependent on individual leaders and champions. In this context, increased capacity-building for policymakers, education leaders and practitioners is regarded by many stakeholders as critical to driving education for sustainable development forward.

28. *Improving monitoring and evaluation.* To date, there has been limited use of monitoring tools to assess the quality and effectiveness of education for sustainable development programmes, the extent of their implementation and the learning outcomes they generate. Many stakeholders support strengthening research, innovation and monitoring and evaluation to better understand the effectiveness of good practices and how to scale them up.

III. The United Nations contribution to the Decade

A. Coordination and implementation

29. United Nations coordination during the Decade was ensured through the Inter-Agency Committee for the United Nations Decade of Education for Sustainable Development. As the lead agency for the Decade, UNESCO served as the convener and secretariat of the Committee, with the chair rotating on an annual basis. The membership of the Committee grew from 15 in 2005 to 22 at the end of the Decade. The Committee served as a locus for exchanging information on education for sustainable development activities, sharing good practices, consulting on strategies for implementation and undertaking joint advocacy efforts to highlight the importance of education for sustainable development at the global level. The Committee also supported and catalysed joint implementation efforts by its members.

30. An example for common strategizing and advocacy in support of education for sustainable development was the joint input the 22 member agencies of the Committee provided for the zero draft of the outcome document of the United Nations Conference on Sustainable Development in 2012. The Conference also saw the launch of a joint United Nations initiative in support of education for sustainable development that was partly catalysed by the Committee. The Higher Education for Sustainability Initiative called upon higher education institutions to sign a declaration committing them to teach sustainable development across all disciplines of study, encourage research and dissemination of sustainable development knowledge, green campuses and support local sustainability efforts, and engage and share information with international networks. With nearly 300 universities signing the declaration, the Initiative accounted for more than one third of all the voluntary commitments that came out of the United Nations Conference on Sustainable Development.

31. In addition to the Inter-Agency Committee, other coordination mechanisms dedicated to specific issues supported United Nations coordination for the Decade. These included the United Nations Alliance on Climate Change Education, Training and Public Awareness, the Global Alliance for Disaster Risk Reduction and Resilience in the Education Sector, and the United Nations Inter-Agency Coordination Group of the 10-Year Framework of Programmes on Sustainable Consumption and Production Patterns, a global framework for action adopted by the international community at the United Nations Conference on Sustainable Development.

32. Members of the Inter-Agency Committee also undertook their own substantial programme implementation activities in support of the Decade, so that the response to the Decade covered the whole United Nations system. Some examples of individual agencies' activities, most of which continue beyond the Decade, include the following.

33. The United Nations Environment Programme (UNEP) supports the mainstreaming of environment and sustainability practices into universities through its Global Universities Partnership on Environment and Sustainability. Over 560 universities from across the world are currently part of this growing network. UNEP also undertook substantial activities to promote sustainable consumption through education and hosts the secretariat of the 10-Year Framework of Programmes on Sustainable Consumption and Production Patterns. As part of the Framework, a programme on sustainable lifestyles and education was launched at the World Conference on Education for Sustainable Development in 2014. UNEP also coordinated the development of the Africa Environmental Education and Training Action Plan 2015-2024.

34. UNICEF promotes the inclusion of climate change and environmental education in schools as part of a major effort to roll out the child-friendly schools model. UNICEF developed materials, raised awareness and undertook capacity-building to this effect.

35. The United Nations University (UNU) promotes multi-stakeholder cooperation at the local level and a global community of practice through the network of regional centres of expertise for education for sustainable development. The regional centres of expertise are networks of existing formal, non-formal and informal organizations that facilitate learning towards sustainable development in local communities. 129 regional centres of expertise across the world were accredited by UNU at the end of the Decade. UNU also coordinates the Promotion of Sustainability in Postgraduate Education and Research Network (ProSPER.Net), linking its work with the regional centres of expertise.

36. The Challenge Badge series of the Youth and United Nations Global Alliance hosted by the Food and Agriculture Organization of the United Nations promotes knowledge and action regarding specific sustainable development challenges and fosters competencies like critical thinking and taking collective decisions through formal and non-formal education activities. Aimed at children and youth, the Challenge Badges have been taken up by a number of organizations, including the World Association of Girl Guides and Girl Scouts and the World Organization of the Scout Movement, which have a collective membership of over 40 million individuals.

37. Examples of joint programme implementation activities catalysed by the United Nations Inter-Agency Committee for the United Nations Decade of Education for Sustainable Development include the technical support on disaster risk reduction provided by UNESCO and UNICEF. The two agencies jointly reviewed curricula in 30 countries, developed a technical guidance document that supports the integration of disaster risk reduction into school curricula and supported capacity-building at country level.

38. The One United Nations Climate Change Learning Partnership, a collaborative initiative involving over 30 multilateral organizations, supports action on climate change education and learning at all levels, including for children, youth and adults, through a One United Nations approach. The Partnership works both globally, promoting knowledge-sharing and providing free access to a wide range of resources, and nationally, collaborating with Governments, United Nations country teams and education and training institutions. The secretariat for the Partnership is provided by the United Nations Institute for Training and Research.

39. The joint UNEP/UNESCO YouthXchange initiative, which was created in 2001, was scaled up during the Decade. The initiative promotes sustainable lifestyles among youth aged 15 to 24 through education, capacity-building, awareness-raising and dialogue. Active in more than 50 countries worldwide, the initiative develops and disseminates education materials in a youth-friendly format to promote the adoption of more sustainable consumer choices.

40. In their contributions to the review of the Decade, Inter-Agency Committee members indicated that the Decade provided an important framework for global cooperation, strengthened a One United Nations approach to education for sustainable development and helped to mobilize stakeholders beyond the United Nations. Members also reported that that the Decade led to a strengthening of education for sustainable development in the programmes of their agencies. While at the beginning of the Decade a majority of agencies reported that education for sustainable development was rarely included in their policies and programmes, at the end of the Decade most agencies consider its integration to be well under way within their organizations and the United Nations system as a whole. Continued and increased leadership by UNESCO and across all United Nations agencies will be needed to further align agendas, scale up action and mobilize resources. Attention to these issues will also contribute to strengthening the role of United Nations agencies as partners in multi-stakeholder arrangements.

B. The role of the United Nations Educational, Scientific and Cultural Organization

41. General Assembly resolution 57/254 designated UNESCO as lead agency for the promotion of the Decade. UNESCO provided strategic leadership for the coordination and implementation of the Decade and undertook its own implementation activities in support of the Decade.

42. As a global leader, UNESCO developed the International Implementation Scheme for the Decade at the beginning of the Decade. Prepared through a broad multi-stakeholder consultative process and adopted by the UNESCO Executive Board in 2005, the International Implementation Scheme spelled out the vision, goals and objectives of the Decade, presented strategies for effective

implementation and suggested which stakeholders to involve at the global, regional, national and subnational levels. In 2010, UNESCO prepared the strategy for the second half of the Decade,[6] which spelled out key challenges and opportunities for the period from 2010 to 2014 and suggested key areas of strategic action.

43. UNESCO organized two world conferences on education for sustainable development during the Decade. The 2009 UNESCO World Conference on Education for Sustainable Development, organized with the Government of Germany and held in Bonn, reviewed the implementation of the Decade from 2005 to 2009 and adopted the Bonn Declaration,[7] which provided guidance and support for education for sustainable development during the second half of the Decade. The 2014 UNESCO World Conference on Education for Sustainable Development, organized with the Government of Japan and held in Aichi-Nagoya, reviewed the implementation of the Decade, adopted the Aichi-Nagoya Declaration on and launched the Global Action Programme on Education for Sustainable Development (see sect. IV below).

44. As part of its responsibilities as lead agency, UNESCO reported on the implementation of the Decade. It prepared a monitoring and evaluation framework at the beginning of the Decade and produced a mid-term report in 2009, *Review of Contexts and Structures for Education for Sustainable Development*, a report in 2012, *Shaping the Education of Tomorrow*, launched at the United Nations Conference on Sustainable Development, and the final report in 2014, *Shaping the Future We Want: UN Decade of Education for Sustainable Development*.[8] UNESCO also regularly reported to its member States on the implementation of the Decade through its statutory reporting mechanisms. In accordance with General Assembly resolution 59/237, UNESCO prepared a mid-term review of the implementation of the Decade for submission to the General Assembly at its sixty-fifth session in 2010 (A/65/279).

45. Throughout the Decade, UNESCO served as an advocate for education for sustainable development in relevant global forums and processes. Among others, it helped ensure the visibility of education for sustainable development at the United Nations Conference on Sustainable Development in 2012 and provided input on education for sustainable development into the development of the post-2015 agenda. Furthermore, UNESCO supported networks related to education for sustainable development and ensured the identification and dissemination of good practice through a variety of publications and its website. In its work as lead agency, UNESCO was supported by a number of expert advisory groups such as a Decade reference group, a monitoring and evaluation expert group and advisory groups for the preparation of the two world conferences.

46. UNESCO also undertook its own substantial implementation activities for the Decade. Among other activities, it provided technical support to countries to integrate climate change, disaster risk reduction and biodiversity into education policy and practice, providing policy advice and teaching and learning materials. UNESCO also ensured that its various networks address education for sustainable

[6] Available from http://unesdoc.unesco.org/images/0021/002154/215466e.pdf.
[7] Available from http://unesdoc.unesco.org/images/0018/001887/188799e.pdf.
[8] Available from http://unesdoc.unesco.org/images/0018/001849/184944e.pdf, http://unesdoc.unesco.org/images/0021/002166/216606e.pdf and http://unesdoc.unesco.org/images/0023/002301/230171e.pdf, respectively.

development, in particular the Associated Schools Project Network, with its over 10,000 educational institutions across the world, the UNESCO Network of Chairs and the World Network of Biosphere Reserves. During the Decade, UNESCO created a new education institute which supports education for sustainable development, the Mahatma Gandhi Institute of Education for Peace and Sustainable Development in India.

IV. The 2014 World Conference on Education for Sustainable Development

47. The UNESCO World Conference on Education for Sustainable Development took place from 10 to 12 November 2014 in Aichi-Nagoya, Japan. Co-organized by UNESCO and the Government of Japan, the World Conference had the following objectives: celebrating a decade of action ("What have we achieved, what are the lessons learned?"); reorienting education to build a better future for all ("How does education for sustainable development reinforce quality education?"); accelerating action for sustainable development ("How are sustainability challenges addressed through education for sustainable development ?"); and setting the agenda for education for sustainable development beyond 2014 ("What are the strategies for our common future?"). The World Conference was preceded by associated stakeholder meetings in Okayama, Japan, bringing together students and teachers of the UNESCO Associated Schools Project Network, young education for sustainable development leaders, and representatives of the UNU-coordinated network of regional centres of expertise for education for sustainable development. The stakeholder meetings provided input into the World Conference.

48. The World Conference was attended by over 1,100 participants from 150 UNESCO member States and associate member States. These included 76 participants at ministerial level, 122 official member State delegations, non-governmental organizations, academia, the private sector, individual experts and practitioners, media, youth and United Nations agencies. Over 60 key stakeholders were entrusted with the responsibility of organizing the concurrent workshops of the World Conference. This approach helped to build and strengthen partnerships that are proving instrumental for the implementation of the conference follow-up.

49. The key outcome of the World Conference was the launch of the Global Action Programme on Education for Sustainable Development, the follow-up to the Decade (see section V.A below). In the lead-up to the Conference, UNESCO called upon Member States and other stakeholders to submit concrete launch commitments to the Global Action Programme, detailing their planned implementation actions. In total, 360 launch commitments from all regions were received. They provide a solid basis for the implementation of the Global Action Programme. The World Conference also launched the final report on the Decade (see para. 44 above) and announced the UNESCO-Japan Prize on Education for Sustainable Development (see https://en.unesco.org/prize-esd), which will be awarded annually by UNESCO for an initial period of five years.

50. The World Conference closed with the adoption of the Aichi-Nagoya Declaration on Education for Sustainable Development, the text of which is annexed to the present report. The Declaration celebrates the significant achievements made

by the Decade, reaffirms education for sustainable development as a vital means of implementation for sustainable development as recognized in various international frameworks, welcomes the growing international recognition of education for sustainable development as an integral and transformative element of inclusive quality education and lifelong learning, and stresses that education for sustainable development is an opportunity and a responsibility that should engage both developed and developing countries.

51. The Aichi-Nagoya Declaration invites Governments of UNESCO member States to make further efforts to review the purposes and values that underpin education; assess the extent to which education policy and curricula are achieving the goals of education for sustainable development; and reinforce the integration of education for sustainable development into education, training and sustainable development policies. The Declaration invites Governments to allocate and mobilize substantial resources to translate policies into actions, and reflect and strengthen education for sustainable development in the post-2015 agenda.

52. The Aichi-Nagoya Declaration requests the Director-General of UNESCO to continue to provide global leadership, support policy synergy and facilitate communication for education for sustainable development, in cooperation with relevant partners; harness partnerships and mobilize networks; and advocate the importance of ensuring adequate resources for education for sustainable development.

53. The outcomes of the World Conference were taken forward to the World Education Forum, organized by UNESCO and co-conveners from 19 to 22 May 2015 in Incheon, Republic of Korea, to discuss and agree on the implementation of the post-2015 global education agenda.

V. Ways forward

A. The Global Action Programme and the post-2015 agenda

54. At its thirty-seventh session, the General Conference of UNESCO in 2013 endorsed the Global Action Programme on Education for Sustainable Development as the follow-up to the Decade. UNESCO developed the Global Action Programme through broad consultations with Governments and other stakeholders and in response to the commitment of Member States at the United Nations Conference on Sustainable Development "to promote education for sustainable development and to integrate sustainable development more actively into education beyond the United Nations Decade of Education for Sustainable Development" (General Assembly resolution 66/288, annex, para. 233. In its resolution 69/211, the General Assembly took note of the Global Action Programme as a follow-up to the Decade, invited Governments to take steps to implement it and invited UNESCO, as the lead agency for education for sustainable development, to continue to provide coordination for the implementation of the Global Action Programme, in cooperation with relevant stakeholders.

55. The overall goal of the Global Action Programme is to generate and scale up action in all levels and areas of education and learning to accelerate progress towards sustainable development. This involves both integrating sustainable

development into education and integrating education into sustainable development. Corresponding to this overall approach, two objectives are laid out:

(a) To reorient education and learning so that everyone has the opportunity to acquire the knowledge, skills, values and attitudes that empower them to contribute to sustainable development;

(b) To strengthen education and learning in all agendas, programmes and activities that promote sustainable development.

56. To enable strategic focus and foster stakeholder commitment, the Global Action Programme has identified five priority action areas to advance the education for sustainable development agenda:

(a) Advancing policy: Mainstream education for sustainable development into both education and sustainable development policies, to create an enabling environment for education for sustainable development and to bring about systemic change;

(b) Transforming learning and training environments: Integrate sustainability principles into education and training settings through whole-institution approaches;

(c) Building capacities of educators and trainers: Increase the capacities of educators and trainers to more effectively deliver education for sustainable development and become learning facilitators;

(d) Empowering and mobilizing youth: Multiply education for sustainable development actions among youth and support youth in their role as change agents for sustainable development;

(e) Accelerating sustainable solutions at local level: At community level, scale up education for sustainable development programmes and multi-stakeholder networks.

57. The Global Action Programme comes with a detailed implantation road map developed by UNESCO.[9] It is intended for all stakeholders, including Governments, civil society organizations, the private sector, media, the academic and research community, intergovernmental organizations and other relevant institutions that facilitate and support learning and training, and individual teachers and learners. The road map explains the goal, objectives and priority action areas of the Global Action Programme, together with implementation and monitoring strategies.

58. The road map describes four strategies at the global level to facilitate the implementation of the Global Action Programme:

(a) Building new momentum: All stakeholders were invited to make initial voluntary commitments to implement activities for the Global Action Programme. These launch commitments helped to kick-start implementation;

(b) Harnessing partnerships: Partner networks set up by UNESCO spearhead the implementation of the Global Action Programme. Partner networks consist of major stakeholders who have extensive outreach capacity, can create major impact

[9] UNESCO, *Roadmap for Implementing the Global Action Programme on Education for Sustainable Development* (Paris, 2014). Available from http://unesdoc.unesco.org/images/0023/002305/230514e.pdf.

and/or conduct innovative activities. Members of partner networks are selected on the basis of the launch commitments received by UNESCO;

(c) Fostering a global community of practice: A global forum will give stakeholders the opportunity to meet and exchange ideas, experience and information. An online clearinghouse is being established for stakeholders to map information and knowledge, identify gaps, develop joint initiatives, raise funds and build capacities;

(d) Showcasing good practice: Innovative and effective initiatives, practices, approaches and processes that support the implementation of the Global Action Programme will be identified, provided visibility and shared widely for scaling up. The UNESCO-Japan Prize on Education for Sustainable Development has been launched to award and highlight good practices.

59. The four implementation strategies established at the global level can also be adapted at national level to spur national initiatives. The establishment of national coordination mechanisms or, as appropriate, the continuation of successful mechanisms that were put in place under the Decade, is encouraged.

60. The Global Action Programme is intended as a concrete contribution to the implementation of the post-2015 agenda. In the proposals for the post-2015 agenda, education for sustainable development has been fully recognized as an important element. The proposed sustainable development goal 4 on education contains education for sustainable development as part of target 4.7. Education and public awareness efforts are also recognized as an important means to implement the proposed sustainable development goals on climate change and sustainable consumption and production patterns (see A/68/970). Furthermore, education is recognized as an important means to enhance the resilience of communities in the Sendai Framework for Disaster Risk Reduction 2015–2030, adopted at the World Conference on Disaster Risk Reduction in 2015 (see General Assembly resolution 69/283).

61. The Incheon Declaration, adopted at the World Education Forum (see para. 53 above), recognized the importance of education for sustainable development, together with global citizenship education and human rights education, as an important element of quality education. The Declaration expressed strong support for the implementation of the Global Action Programme on Education for Sustainable Development.[10] The Education 2030 Framework for Action, whose essential elements were adopted at the World Education Forum, includes guidance for the implementation of education for sustainable development. The recognition of education for sustainable development as an integral part of the post-2015 agenda provides a strong mandate for the continuation and scaling up of related activities after the end of the Decade.

B. Recommendations

62. The review of the Decade leads to the following recommendations for future action on education for sustainable development.

[10] *Incheon Declaration: Education 2030: Towards inclusive and equitable quality education and lifelong learning for all* (2015). Available from http://unesdoc.unesco.org/images/0023/002338/233813M.pdf.

63. Member States and other concerned stakeholders should scale up education for sustainable development action by implementing the Global Action Programme in its five priority action areas: policy, learning environments, educators, youth and local communities.

64. Education and sustainable development agendas at global, regional, national and subnational levels should be further aligned, and multi-stakeholder partnerships bringing together stakeholders from the education sector and from other sectors concerned with sustainable development should be strengthened and expanded. This includes using education for sustainable development as a means of implementation across all sustainable development goals.

65. Education for sustainable development should be systemically integrated and fully institutionalized in the education sector and other relevant sectors in Member States. This requires the inclusion of education for sustainable development in relevant policies and developing the capacities of policymakers, institutional leaders and educators. It also requires strengthening research, innovation and monitoring and evaluation to support the scaling up of good practice.

Annex

Aichi-Nagoya Declaration on Education for Sustainable Development

We, the participants of the UNESCO World Conference on Education for Sustainable Development held in Aichi-Nagoya, Japan, from 10 to 12 November 2014, adopt this Declaration and call for urgent action to further strengthen and scale up education for sustainable development, in order to enable current generations to meet their needs while allowing future generations to meet their own, with a balanced and integrated approach regarding the economic, social and environmental dimensions of sustainable development. This Declaration recognizes that people are at the centre of sustainable development and builds on the achievements of the United Nations Decade of Education for Sustainable Development (2005-2014); the deliberations of the UNESCO World Conference on Education for Sustainable Development in Aichi-Nagoya; and the stakeholder meetings held in Okayama, Japan, from 4 to 8 November 2014, namely, events of the UNESCO Associated Schools Project Network, the UNESCO Education for Sustainable Development Youth Conference, the global regional centres of expertise conference and other relevant events and consultation processes, including regional ministerial meetings. We express our sincere gratitude to the Government of Japan for hosting the UNESCO World Conference on Education for Sustainable Development.

1. *Celebrating* the significant achievements made by the UN Decade of Education for Sustainable Development (2005-2014), in particular, in putting education for sustainable development higher on national and international agendas, advancing policy, improving the conceptual understanding of education for sustainable development and generating substantive good practice amongst a wide range of stakeholders,

2. *Expressing* our appreciation to many Governments, United Nations entities, non-governmental organizations, all types of educational institutions and setups, educators and learners in schools, communities and workplaces, youth, the scientific community, academia and other stakeholders who have actively committed to and participated in the implementation of the Decade, and to UNESCO for the leadership role it has played as lead agency of the Decade,

3. *Recalling* the international commitment to further promoting education for sustainable development that was included in the outcome document of the 2012 United Nations Conference on Sustainable Development, "The future we want",

4. *Noting* that the Global Action Programme on Education for Sustainable Development, endorsed by the General Conference of UNESCO at its thirty-seventh session as a follow-up to the Decade of Education for Sustainable Development and a concrete contribution to the post-2015 agenda, aims at generating and scaling up education for sustainable development actions in all levels and areas of education, training and learning,

5. *Reaffirming* education for sustainable development as a vital means of implementation for sustainable development, as recognized in intergovernmental agreements on climate change (article 6 of the United Nations Framework Convention on Climate Change and its Doha Work Programme), biodiversity (article 13 of the Convention on Biological Diversity and its work programmes and related decisions), disaster risk reduction (Hyogo Framework for Action 2005-

2015), sustainable consumption and production (sustainable lifestyles and education programme of the 10-Year Framework of Programmes on Sustainable Consumption and Production Patterns), and children's rights (articles 24[2], 28 and 29 of the United Nations Convention on the Rights of the Child), among many others,

6. *Welcoming* the growing international recognition of education for sustainable development as an integral and transformative element of inclusive quality education and lifelong learning and an enabler for sustainable development, as demonstrated by the inclusion of education for sustainable development as a target in the Muscat Agreement adopted at the 2014 Global Education For All Meeting and in the proposal for sustainable development goals by the Open Working Group of the General Assembly on Sustainable Development Goals,

7. *Recognizing* the establishment of the UNESCO-Japan Prize on Education for Sustainable Development approved by the Executive Board of UNESCO at its 195th session,

We, the participants,

8. *Emphasize* the potential of education for sustainable development to empower learners to transform themselves and the society they live in by developing knowledge, skills, attitudes, competences and values required for addressing global citizenship and local contextual challenges of the present and the future, such as critical and systemic thinking, analytical problem-solving, creativity, working collaboratively and making decisions in the face of uncertainty, and understanding of the interconnectedness of global challenges and responsibilities emanating from such awareness,

9. *Stress* that education for sustainable development is an opportunity and a responsibility that should engage both developed and developing countries in intensifying efforts for poverty eradication, reduction of inequalities, environmental protection and economic growth, with a view to promoting equitable, more sustainable economies and societies benefiting all countries, especially those most vulnerable such as small island developing States and least developed countries,

10. *Underscore* that the implementation of education for sustainable development should fully take into consideration local, national, regional and global contexts, as well as the contribution of culture to sustainable development and the need for respecting peace, non-violence, cultural diversity, local and traditional knowledge and indigenous wisdom and practices, and universal principles such as human rights, gender equality, democracy and social justice,

11. *Appreciate* the commitments to education for sustainable development expressed by all concerned stakeholders through their specific contributions to the launch commitments of the Global Action Programme on Education for Sustainable Development,

12. *Commit* ourselves to building and maintaining the momentum of the launching of the Global Action Programme in its five priority action areas, namely policy support, whole-institution approaches, educators, youth and local communities, through inclusive quality education and lifelong learning via formal, non-formal and informal settings,

13. *Call upon* all concerned stakeholders, including Governments and their affiliated institutions and networks, civil society organizations and groups, the private sector, media, the academic and research community and education and training institutions and centres as well as United Nations entities, bilateral and

multilateral development agencies and other types of intergovernmental organizations at all levels, to: (a) set specific goals, (b) develop, support and implement activities, (c) create platforms for sharing experiences (including information and communication technology-based platforms) and (d) strengthen monitoring and evaluation approaches in the five priority action areas of the Global Action Programme in a synergistic manner,

14. *Urge* all concerned stakeholders, in particular ministries of education and all ministries involved with education for sustainable development, higher education institutions and the scientific and other knowledge communities to engage in collaborative and transformative knowledge production, dissemination and utilization, and promotion of innovation across sectoral and disciplinary boundaries at the interface of science, policy and education for sustainable development practice to enrich decision-making and capacity-building for sustainable development, with emphasis on involving and respecting youth as key stakeholders,

15. *Invite* Governments of UNESCO member States to make further efforts to:

(a) Review the purposes and values that underpin education, assess the extent to which education policy and curricula are achieving the goals of education for sustainable development; reinforce the integration of education for sustainable development into education, training, and sustainable development policies, with a special attention paid to system-wide and holistic approaches and multi-stakeholder cooperation and partnerships between actors of the education sector, private sector, civil society and those working in the various areas of sustainable development; and ensure the education, training and professional development of teachers and other educators to successfully integrate education for sustainable development into teaching and learning;

(b) Allocate and mobilize substantial resources to translate policies into actions, especially building necessary institutional capacities for both formal and non-formal education and learning at national and subnational levels along the five priority actions areas of the Global Action Programme;

(c) Reflect and strengthen education for sustainable development in the post-2015 agenda and its follow-up processes, ensuring, first, that education for sustainable development is maintained as a target in the education goal and also integrated in sustainable development goals as a cross-cutting theme; and, second, that the outcomes of the 2014 World Conference on Education for Sustainable Development are taken into consideration at the World Education Forum 2015 to be held in Incheon, Republic of Korea, from 19 to 22 May 2015,

16. *Request* the Director-General of UNESCO to continue to:

(a) Provide global leadership, support policy synergy and facilitate communication for education for sustainable development, in cooperation with Governments, other United Nations entities, development partners, private sector and civil society, within the framework of the UNESCO road map to implement the Global Action Programme;

(b) Harness partnerships and mobilize networks, including the UNESCO Associated Schools Project Network, UNESCO Network of Chairs, centres under the auspices of UNESCO, the World Network of Biosphere Reserves and World Heritage Sites, as well as UNESCO clubs and associations;

(c) Advocate the importance of ensuring adequate resources, including funding, for education for sustainable development.

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Human resources management

Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations

Seconded active-duty military and police personnel

Report of the Secretary-General

Summary

The present report is submitted in response to General Assembly resolution 68/252, in which the Assembly requested the Secretary-General to intensify his engagement with Member States with a view to identifying alternative solutions for addressing the conflicts between national legislation and the United Nations staff regulations and rules regarding the secondment of active-duty military and police personnel.

The report describes developments concerning the issue and proposes a way forward for addressing such conflicts.

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I. Introduction

1. In his report on the overview of the financing of the United Nations peacekeeping operations budget performance for the period from 1 July 2011 to 30 June 2012 and budget for the period from 1 July 2013 to 30 June 2014 (A/67/723), the Secretary-General brought to the attention of the General Assembly the conflict between the Staff Regulations and Staff Rules of the United Nations and the national legislation of some Member States with respect to their active-duty military and police personnel seconded to the Secretariat. In its resolution 67/287, the Assembly noted the difficulties related to the secondment of active-duty military and police personnel against posts, and requested the Secretary-General to report to the Assembly during the main part of its sixty-eighth session on proposals for its consideration, and, as an exceptional measure not to be extended beyond 31 December 2013, to facilitate the full participation of all Member States in seconding active-duty officers.

2. The Secretary-General, in his report on seconded active-duty military and police personnel (A/68/495), described the difficulties encountered in the secondment of military and police personnel recruited against posts in the Secretariat and proposed amendments to certain staff regulations and rules (staff regulation 1.1 (b) — written declaration; staff regulation 1.2 (j) and staff rule 1.2 (l) — honours, gifts or remuneration; and staff rule 4.15 (h) — functions of the central review bodies) in an effort to address potential conflicts between national legislation and the Staff Regulations and Rules.

3. Following its consideration of the report, the General Assembly, in its resolution 68/252, requested the Secretary-General to extend for a further three years the exceptional measures authorized in paragraph 21 of its resolution 67/287 and to intensify his engagement with Member States with a view to identifying alternative solutions for addressing the conflicts between national legislation and the United Nations staff regulations and rules regarding the secondment of active-duty military and police personnel. The Assembly also requested the Secretary-General to submit to it for consideration at the main part of its seventieth session a report regarding developments on the issue and, if necessary, a new proposal.

4. The present report describes the efforts made to identify potential conflicts between national legislation and the Staff Regulations and Rules and the exceptional measures implemented by the Secretariat, as approved by the General Assembly in its resolution 67/287.

II. Conflict or potential conflict with national legislation

5. Seconded active-duty military and police officers make up a unique category of staff serving in the United Nations, as they are in active service with both their Governments and the United Nations. As such, they are subject to the regulations and rules that govern their service with both entities. In some instances, national legislation prohibits active-duty military or police personnel from accepting remuneration from an outside organization. In others, the payment of certain benefits to personnel is required for them to remain in active status. Such situations conflict with United Nations staff regulation 1.2 (j), which prohibits staff from accepting any honour, decoration, favour, gift or remuneration from any Government.

6. To better understand such conflicts, and in compliance with General Assembly resolutions 67/287 and 68/252, the Secretariat circulated to all Member States a note verbale, dated 20 June 2014, requesting Member States to provide information on any potential conflicts between their national legislation and the Staff Regulations and Rules that might have an impact on the contractual obligations of active-duty military and police officers holding a United Nations staff appointment. Given the complexity of the matter, the deadline of 15 August 2014 was extended to 15 September 2014, and a reminder was sent on 1 September 2014. As at 1 June 2015,[1] the Secretariat had received 20 responses from Member States, which represents an 11 per cent response rate. Of the 20 responses received, 12 reported conflicts or potential conflicts between their national legislation and the Staff Regulations and Rules. In those instances, the national legislation either provided for additional salary payments, prohibited the receipt of remuneration or benefits from the United Nations or provided for the payment of pension contributions. Four other Member States reported that the United Nations compensation package, compared with their nationally legislated compensation package, was not as appealing and hence could not attract military and police officers to apply for active-duty posts in the Secretariat. As an incentive for service with the United Nations, a number of Member States advised that they were exploring the feasibility of implementing an exceptional measure that would permit their active-duty military and police personnel, if seconded to the United Nations, to accept remuneration from the Government to facilitate their participation in the secondment of active-duty officers. Four other Member States reported no conflict between national legislation and the Staff Regulations and Rules.

7. The low response rate from Member States has made it difficult for the Secretariat to draw conclusions regarding national legislation and remuneration and benefits provided to active-duty seconded officers serving at Headquarters and in peacekeeping operations.

8. As part of the internal review process, and as noted in the note verbale addressed to Member States in June 2014, in accordance with the administrative instructions on reporting, retaining and disposing of honours, decorations, favours, gifts or remuneration from governmental and non-governmental sources (ST/AI/2010/1), all 128 active-duty seconded officers serving at Headquarters in October 2014 were requested to complete a survey reporting any payments, benefits and/or allowances that they might be receiving from their national Governments as a result of their active-duty status. A total of 111 responses was received, covering 53 Member States. Of the seconded officers who responded, 19 staff members from nine Member States reported receiving some form of remuneration from their national Governments, consisting of a small basic salary, allowances and/or pension contributions. Those nine Member States had not responded to the notes verbales circulated by the Secretariat in June and September 2014 or to follow-up communications seeking clarification as to whether the payments made to their seconded active-duty officers were required by national legislation. Despite the survey and further follow-up, the full extent to which active-duty seconded officers

[1] Initial results of the survey, as at 1 January 2015, were shared with Member States in the report of the Secretary-General on the overview of the financing of the United Nations peacekeeping operations: budget performance for the period from 1 July 2013 to 30 June 2014 and budget for the period from 1 July 2015 to 30 June 2016 (A/69/751/Rev.1). The present report contains updated data.

are receiving remuneration and benefits from their respective Member States is not clear.

9. In reviewing the information provided by Member States on conflicts or potential conflicts between national legislation and the Staff Regulations and Rules, as well as the results of the survey of seconded active-duty military and police personnel, it was noted that a number of Governments continued to make contributions to the seconded officer's pension scheme. Under the tripartite secondment agreement, the parties agree to the secondment on the condition that the Government protect all pension and promotion rights of the staff member, who would retain the right to return to service to the Government after the expiration of the appointment on secondment. Since the protection of pension rights is provided for in section II of General Assembly resolution 45/239, the payment of pension contributions to a national pension scheme on behalf of a seconded active-duty military or police officer during his or her service with the Organization is not considered to be in conflict with the Staff Regulations and Rules and may continue.

III. Exceptional measures implemented by the Secretariat

10. To date, the Secretariat has implemented the following exceptional measures on two occasions, according to the terms set out in General Assembly resolution 67/287:

(a) *Active-duty seconded officer on temporary appointment*. Pursuant to paragraph 31 of General Assembly resolution 68/252, an active-duty military officer was appointed on secondment from a Member State on temporary appointment. Under that measure, the United Nations salary was paid to the Government, while the staff member continued to receive a salary from his Government, and the content of the declaration under staff regulation 1.1 (b) was modified to address any potential conflict;

(b) *Active-duty seconded officer on fixed-term appointment*. The recruitment of an active-duty officer under a fixed-term appointment followed a similar arrangement. The salary, post adjustment and allowances were paid to a Government account specified by the staff member and the official travel expenses, including the assignment grant, were paid directly to the staff member's personal account.

11. Currently, the Secretariat is reviewing, in cooperation with the affected staff members and the concerned Member States, three additional cases that may warrant the implementation of exceptional measures.

IV. Guiding principles for resolving the conflict between national legislation and the Staff Regulations and Rules

12. In reflecting on the information from Member States presented in document A/68/495, the Secretariat again considered that any viable option to address the identified conflicts with national legislation and challenges must:

(a) Enable all Member States to participate;

(b) Ensure that the same contractual modality applies to all seconded active-duty military and police personnel;

(c) Provide the necessary accountabilities to enable seconded active-duty military and police personnel to carry out the full functions of their position, including staff supervision and/or the commitment of funds and/or resources;

(d) Ensure that seconded active-duty military and police personnel remain subject to the disciplinary authority of the Secretary-General;

(e) Not create a separate category of staff to whom different values and rules apply;

(f) Address the conflict between the provisions of the Staff Regulations and Rules and the national legislation of certain Member States.

V. Next steps

13. While the exceptional measures approved by the General Assembly in its resolutions 67/287 and 68/252 enabled the Secretariat to address some of the immediate and specific challenges posed by the national legislation of certain Member States, the efforts of the Secretariat to capture fully the breadth and depth of those challenges have not been as fruitful as expected. Thus, in presenting the initial recommendations to resolve the identified conflict (see annex), the Secretariat recognizes that further effort and time is required.

14. The Secretary-General intends to report back annually to the General Assembly in the context of his report on the overview of the financing of the United Nations peacekeeping operations on further steps taken to obtain the required information on and apply the exceptional measures approved by Assembly in its resolutions 67/287 and 68/252.

15. The Secretary-General intends to request seconded active-duty officers to disclose any remuneration or benefits received from their Governments. If an officer discloses the receipt of remuneration or benefits, the Secretariat will work with the relevant Member State to ascertain whether the remuneration or benefits are required by national legislation. The General Assembly may wish to emphasize the importance of all Member States cooperating with the Secretariat in gathering the full breadth and scope of information required regarding any conflict between national legislation and the Staff Regulations and Rules in the secondment of active-duty military and police personnel.

16. Because the information received from Member States was not sufficient, it has not been possible to develop a new proposal for addressing conflicts. The Secretary-General thus requests the General Assembly to consider an extension of the application of the exceptional measures authorized in its resolutions 67/287 and 68/252 to facilitate the submission of the required information and, in the interim, to enable the full participation of all Member States in seconding active-duty officers.

VI. Action to be taken by the General Assembly

17. **The General Assembly is requested to:**

(a) Take note of the additional information provided in the present report on the application of the exceptional measures authorized by the General Assembly in its resolution 67/287;

(b) Consider an extension of the application of the exceptional measures authorized by the General Assembly in its resolutions 67/287 and 68/252 in cases in which national legislation prohibits seconded active-duty military or police personnel from accepting remuneration and benefits from the United Nations or in which national legislation requires that the officer continue to receive certain benefits from the Government;

(c) Request all Member States to cooperate fully with requests for information by the Secretariat on any potential conflicts between their national legislation and the Staff Regulations and Rules as well as on remuneration and benefits provided to active-duty seconded officers.

Annex

Initial recommendations for amending the Staff Regulations and Rules to resolve conflicts relating to secondment

Amendment of staff regulation 1.1 (b) — written declaration

1. In order to address the potential conflict involving dual loyalty to both the national Government and the United Nations, the Secretary-General recommends that a written declaration be signed by all seconded active-duty military and police personnel under staff regulation 1.1 (b) and that an additional undertaking be included in order for such personnel to inform the United Nations of any conflict between the declaration and the oath or affirmation of office made with their national authorities. In this respect, the Secretary-General suggests that the additional declaration for seconded active-duty military and police personnel be set out in an amended staff regulation 1.1 (b) as follows (suggested changes in bold text):

> (b) Staff members shall make the following written declaration witnessed by the Secretary-General or his or her authorized representative:
>
> "I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization.
>
> "I also solemnly declare and promise to respect the obligations incumbent upon me as set out in the Staff Regulations and Rules."

Military and police personnel on secondment from government service, who are appointed to posts specifically approved for active-duty military and police personnel, shall make an additional written declaration as follows:

> **"In the event of any conflict between the declaration made by me under the present staff regulation and the oath or affirmation of office made by me as a member of my Government, I shall immediately inform the United Nations and offer to resign forthwith in order to fulfil my obligations under that oath or affirmation."**

2. Where a conflict does arise between the written declaration with the United Nations and an oath or affirmation made by a seconded officer to his or her Government, and the seconded officer does not offer to submit his or her resignation, disciplinary proceedings would be initiated and the seconded officer would be separated.

Amendment of staff regulation 1.2 (j) and related staff rule 1.2 (l) — honours, gifts or remuneration

3. If there is no conflict between national legislation and the United Nations Staff Regulations and Rules, but the United Nations compensation is lower than the

national compensation, the implementation of the exceptional measure would require that, for military and police personnel on secondment from government service, staff regulation 1.2 (j) and related staff rule 1.2 (l) be amended, as follows:

Staff regulation 1.2

(j) No staff member shall accept any honour, decoration, favour, gift or remuneration from any Government. **Military and police personnel on secondment from government service who are appointed to posts specifically approved for active-duty military and police personnel, may be permitted to accept remuneration from their Governments on terms and conditions specified by the Secretary-General in their letters of appointment.**[a]

Staff rule 1.2

(l) No staff member shall accept any honour, decoration, favour, gift or remuneration from any Government, **except as permitted by staff regulation 1.2 (j)**.

Amendment of staff rule 4.15 — functions of the central review bodies

4. As the nomination and selection process for seconded active-duty military and police personnel does not involve review by central review bodies, the Secretary-General suggests that staff rule 4.15 (h) on the functions of the central review bodies be amended, as follows, in order to clarify that the bodies do not advise on the appointment of active-duty military and police personnel.

(h) The central review bodies shall advise the Secretary-General on all appointments of one year or longer, except in the following cases:

(i) Appointment of candidates having successfully passed a competitive examination, in accordance with staff rule 4.16;

(ii) Appointment at the entry level or promotion within the General Service and related categories of candidates having successfully passed an entrance test or examination, under conditions defined by the Secretary-General;

(iii) **Appointment of military and police personnel on secondment from government service to posts specifically approved for active-duty military and police personnel.**

5. Where national legislation prohibits seconded active-duty military or police personnel from accepting remuneration and benefits from the United Nations, or where national legislation requires that the seconded active-duty officers continue to receive certain benefits from their Governments, the Secretary-General considers it most desirable for Member States to consider amending their national legislation in

[a] For classification purposes in the present report: this amendment applies exclusively to military and police personnel on secondment from government service and does not apply to any other group of staff.

order to respect the exclusively international character and responsibilities of United Nations staff. Should this not be feasible or take considerable time to achieve, the Secretary-General requests approval of the General Assembly to continue to apply the exceptional measures authorized in its resolutions 67/287 and 68/252 to enable the full participation of all Member States in seconding active-duty officers to the United Nations.

6. During the onboarding process, seconded active-duty military and police personnel would be required to disclose whether their national legislation either prohibits them from receiving remuneration from the Organization or requires them to continue to accept certain remuneration while in active service on secondment with the Organization. A determination would then be made as to whether to allow a seconded officer to receive remuneration from his or her national Government. If the determination were allowed, under amended staff regulation 1.2 (j) and staff rule 1.2 (l), it would be reflected in the letter of appointment. Where national legislation prohibits the seconded officer from receiving remuneration from the Organization, the officer would be permitted to continue to be remunerated by his or her Government, and the United Nations salary would be remitted to the Government. Where national legislation does not prohibit seconded officers from accepting remuneration from the Organization but requires them to accept certain remuneration from their Governments, the officers would be required to disclose the remuneration and/or benefits payable by their national Governments and explain the national legislation requiring that such payments be made. In such cases, the United Nations would pay the seconded officers in accordance with the Staff Regulations and Rules and would make appropriate adjustments to their United Nations remuneration in order to provide equity of treatment of officers. Irrespective of such arrangements, all seconded officers would continue to be prohibited from accepting any honour, decoration, favour or gift from any Government. If, by virtue of his or her active-duty status with a Government, a seconded officer has cause to be influenced in his or her actions, in particular any action that might reflect on his or her position as an international official responsible only to the Organization, the seconded officer has the obligation to make that fact known to the Organization at the first opportunity (Articles 100 and 101 of the Charter of the United Nations).